CARIAA
Collaborative Adaptation Research Initiative in Africa and Asia

# Staged Evaluation
# First Thematic Review –
## Strategies for Influencing Program Outcomes

## Revised Final Report

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# CARIAA Staged Evaluation
# First Thematic Review – Strategies for Influencing Program Outcomes

## Summary

This report summarizes the results of the initial thematic review, which is part of a staged evaluation of CARIAA to help operationalize the program's Learning Framework. The review focused on "research into use" (RiU), and specifically the early outcomes achieved by consortia and the strategies consortia are adopting with key stakeholders to influence successful outcomes. The limitations of our methodology required an opportunistic sample, encompassing only a relatively small slice of each consortium's overall activities, so caution should be exercised in generalizing these observations more broadly to the entire consortium, or to comparing directly between them. This is particularly true for PRISE and ASSAR, where timing and sampling limitations restricted us to assessing a limited number of partners in only one country for each. Our report is intended to provoke internal reflection, discussion and learning for the consortia and for the CARIAA PMU, so that they can consider opportunities identified to enhance program delivery in order to better achieve its objectives. The report should not be interpreted as evaluating performance or providing detailed management recommendations.

Key observations include the following:

1. There is enormous opportunity for each of the consortia to influence policy and practice in the countries we visited. Awareness of climate change as a potential threat is already high. Repeatedly, evaluators were told by policy makers and practitioners of their strong interest in information that can be applied at the local, district, state and national levels.
2. All four consortia have achieved early or intermediate outcomes and have made important progress towards the outcomes identified in their Theories of Change.
3. In each of the consortia, there are emerging mechanisms and relationships for strengthening influence on future results, and signs of influence on policy and practice. Researchers have many suggestions of how to strengthen such influence.
4. These many positive, and sometimes impressive, examples of early outcomes are not well connected yet to explicit strategies for RiU at the consortium level. Draft RiU strategies are so far either high level documents or as yet undeveloped. The intermediate outcomes we observed tend to be the result of long-standing institutional reputations and networks, or the efforts of entrepreneurial and highly skilled individuals, or sometimes unexpected synergies from stakeholder interactions. These approaches are fine, but could be more effective if

embedded in a coherent strategy that enabled limited resources to be directed to priority outcomes.

5. The research teams have contradictory understandings of RiU, a concept with which they are not yet comfortable. Some see this as an administrative or communications task that has little to do with their research efforts. As a result the research and the RiU activities often proceed in parallel with few points of connection.
6. An enormous amount of effort is being devoted to stakeholder engagement in all the consortia, but there is little clarity so far about how this engagement could contribute to influencing the uptake of research results. There is a tendency for consortia to conflate stakeholder engagement and RiU activities, although they are often intended for quite different purposes.
7. The consortia are not yet taking advantage of relatively accessible opportunities for significant development and capacity building impact at the local level, where more finely tuned RiU strategies and followup could build on existing partnerships and networks.
8. In comparison to the research and stakeholder engagement efforts, consortium resources devoted to RiU are modest. Existing resources could be more effectively organized if provided with greater clarity about expectations, priorities, methods and tools (i.e. training and strategic direction).
9. RiU strategies need more attention soon if the program expects to realize the opportunities available, and to achieve its second objective.

These observations suggest to the evaluation team the potential value to the program of the following suggested measures, which we offer to CARIAA PMU and the consortia for their consideration:

1. CARIAA should help consortia leaders to strengthen RiU strategies, through guidance, expert support, examples of good practice, training, within- and cross-consortium exchange, including within each country. It would be helpful to have a common understanding of the role of researchers in influencing research use. Additional resources and more effective engagement of researchers in RiU would help to assure successful implementation of RiU strategies.
2. CARIAA should develop a simple template and guidelines for an RiU strategy that can be used by the consortia. This template could include a menu of options for different stakeholder groups, along with considerations and suggestions for each, based on established evidence and experience. It could also refer to helpful tools, such as the ODI – ROMA guide, already used by HI-AWARE.
3. Consortia should support senior researchers to make their “intuitive” RiU strategies, where they exist, more explicit, so that research results and products can be more easily tailored to the demands of existing “clients” or user groups, typically at a state or national level. This will also help orient and guide mid-level and junior researchers in applying RiU in future research work.

4. Consortia should link their RiU strategies explicitly to priority stakeholder groups and key actors / individuals. While there have been good reasons for broad stakeholder engagement so far, at this point in their work it may make sense to apply a tighter focus on influencing outcomes and consider how those priorities might guide further stakeholder engagement.
5. Consortia should develop communications and knowledge sharing protocols for field researchers, so that their existing knowledge, as well as new knowledge generated from the research, is shared in timely fashion with host communities and stakeholders they are already working with.
6. CARIAA PMU and PMC may wish to discuss expectations with respect to demonstrating or piloting emerging innovations (including institutional innovations such as decision support tools), as a means to strengthen RiU. Despite CARIAA's program statements and ToC, most of the consortia are not considering pilots as a means to scale lessons and build capacity for implementation, even though their value in convincing users to adopt innovative approaches is widely recognized.
7. CARIAA PMU should work with the consortia to identify key international donors and adaptation funding opportunities as potential follow-up to research lessons, and connect with relevant national and international agencies to clarify eligibility, funding criteria, application procedures and potential mechanisms for national follow-up. Consortia may then choose to support stakeholders to develop such funding proposals based on evidence from research and pilots, as some consortia are already starting to do.

## 1. Introduction

A staged evaluation of CARIAA is being conducted, consisting of several sequential focused thematic reviews that will help operationalize the Learning Framework.

The purpose of the staged evaluation is to identify opportunities for improving program implementation and achievement of CARIAA's three linked objectives:

1) Research: To produce a range of scientifically validated, policy- and practice-relevant CARIAA research, evidence, and pilot results, with gender and inclusion integrated into designs, findings, and results/outcomes.
2) Uptake/Influence: To promote uptake of adaptation research by stakeholders in policy, practice, and research by ensuring access to, and facilitated opportunities to engage with, a new body of quality evidence.
3) Capacity: To develop capacities to design, research, communicate, and use evidence on adaptation issues amongst researchers, institutions, and networks.

Adaptive Resource Management Ltd (ARM) was contracted to conduct the staged evaluation, which will be undertaken by the team of Stephen Tyler, Guy Bessette and Lynne Tyler. The first element of the staged evaluation was a review of the theories of change of CARIAA and the four consortia, which led to the identification of the focus for this first thematic review.

This report summarizes the results of the first thematic review, which focused on the uptake / influence objective (#2 above), also referred in the program as "research into use" (RiU), and specifically the early outcomes achieved by consortia and the strategies that consortia are pursuing to influence successful outcomes with their key stakeholders, such as policy-makers and practitioners.

## 2. Methodology

A methodology was submitted to the CARIAA Program Team and approved on July 27, 2016, based on a combination of desk research, field observations and interviews, and taking into account the different circumstances and availability of each consortium. The main elements of the methodology are summarized below.

1. Documentation from each consortium was reviewed including, where available, the following materials: RiU strategies, stakeholder engagement strategies, communications strategies, stakeholder mapping reports, reports from stakeholder engagement sessions, monitoring and evaluation reports and various updates about the research and activities of the consortia.

2. Input was gathered from CARIAA program staff in Ottawa and in the regions:
   a) In Ottawa, interview questions were provided by email and discussed at a meeting among Bernard Cantin, Program Manager, Georgina Cundill Kemp, Program Officer and Marie-Eve Landry, Program Administrative Officer. Georgina provided a written summary of the responses and a brief follow-up meeting by telephone clarified a few points.
   b) Evans Kituyi, Program Officer for PRISE attended the workshop held in Saly, Senegal and was also interviewed at that time.
   c) Michele Leone, Program Officer for DECCMA, was interviewed by skype.
   d) K. S. Murali, Program Officer for HI-AWARE, was interviewed in person in Delhi.

3. Field visits were undertaken to all four consortia:
   a) The staged evaluation is intended to involve brief and focused reviews of each thematic area, rather than comprehensive and in-depth studies. The time and financial limitations involved meant that the focus of the initial review would be limited to one country in each consortium (and two in the case of HI-AWARE) where field visits would permit firsthand discussions with consortium members, partners, and various stakeholders:
      - ASSAR: Ghana
      - DECCMA: India
      - HI-AWARE: India and Nepal
      - PRISE: Senegal

   b) In PRISE, the methodology involved a workshop bringing together 16 stakeholders using a modified version of Most Significant Change methodology (The participants for the workshop are listed in Appendix A).

   c) Interviews and group discussions were held with a total of 101 consortium team members, including researchers, RiU coordinators, PIs/Co-PIs, and consortium coordinators: 9 from ASSAR, 52 from DECCMA, 32 from HI-AWARE and 8 from PRISE (See Appendix A for the list of individuals by consortium).

   d) Interviews, focus groups and workshops were held with a total of 79 key partners and stakeholders identified by consortia based on the preparatory discussions with the evaluators: 18 from ASSAR, 7 from DECCMA, 40 from HI-AWARE and 14 from PRISE (See Appendix A for the list of individuals by consortium.)

The difference in numbers between consortia is entirely a result of the opportunities for access that the team had in the short window of time available for the fieldwork. In the case of DECCMA, we were able to join part of the team's semi-annual meeting but were unable to arrange a visit to field sites. As always with field visits, there was considerable preparatory work by the evaluators and the consortia staff, including interviews

beforehand with consortium coordinators and/or RiU leads to collect contextual information that would situate the field visits, to select the researchers, staff, partners and stakeholders to be interviewed, and to plan the logistical arrangements. The evaluators are very appreciative of the considerable effort made by consortia and the cordiality with which we were received.

A progress report on September 13, 2016 approximately midway through the field visits, provided information on the consortium members, partners and stakeholders with whom the evaluators had met by that point.

Readers should be aware of the limitations of the methodology, and in particular the limited sample from which our observations are drawn. This is particularly true for PRISE and ASSAR, where timing and sampling limitations restricted us to assessing a limited number of partners in only one country. Each consortium operates in multiple countries, and includes dozens of research partners, collaborating partner organizations, and key stakeholders. While the study methodology was designed to provide as broad an exposure as possible to the work of each consortium in the limited field time available, we have interacted with only a fraction of these. Each consortium has taken a quite different organizational and methodological approach to their research, which we address here only in relation to their strategies to influence outcomes. But these differences, and the fact that consortia are at somewhat different stages in the implementation of their program, mean that there are limits to the direct comparison of approaches and methods between the different consortia. We emphasize in this report our own observations, and illustrate these with specific examples. We observed both consistencies and differences across the countries visited and consortia investigated, and raise these in our report with the intent of provoking reflection and discussion amongst consortium leadership and CARIAA PMU, without trying to claim sweeping generalizability.

## 3. Thematic Review Questions

The methodology approved by IDRC for the CARIAA staged evaluation's first thematic review set out a series of questions that the thematic review was intended to answer.

Overall question: What outcomes have the CARIAA program and consortia identified, what are the strategies, opportunities and tools they are using to achieve these, and what are the implications for CARIAA as a global program?

1. What early successes, or intermediate outcomes, have been achieved at the consortium and program levels? Have these early outcomes been driven by specific, effective strategies?
2. Are consortia effectively implementing the strategies they have proposed to assure influence and support outcomes that may not yet have been achieved?

3. Do any proposed outcomes lack coherent strategies, within or across consortia, or at the program level?
4. Should the CARIAA ToC be modified to better reflect consortium outcomes, strategies and progress?
5. What can consortia and the program do in the short and medium term to improve effectiveness of strategies and strengthen progress towards key outcomes?

## 4. What is RiU?

As indicated in the questions above, the thematic review is focused on progress towards outcomes by the consortia and strategies that have contributed to such progress. Since the outcomes in the consortia Theories of Change are largely focused on the research results being used by policy-makers and practitioners, the question of research into use, or RiU, is central to the thematic review. RiU as a term has become more widely used following a program of that name by the UK Department for International Development (DFID) designed to "facilitate the update of natural resource research".[1]

We feel it is important to describe here what the evaluators understand by this term, as it still seems not to be widely understood either by researchers or by CARIAA staff. We also include a very short list of easily accessible resources in Appendix 2.

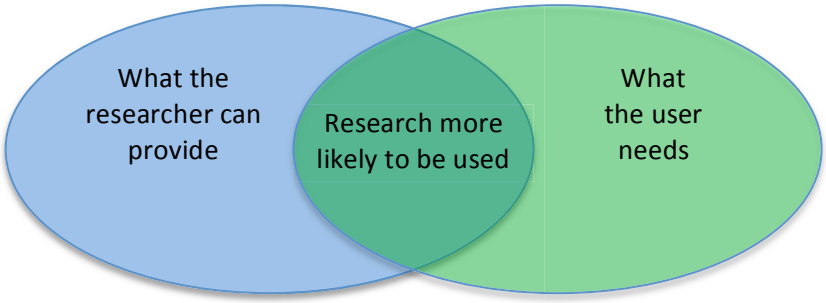
RiU is as much about bringing people together as it is about assembling data. Generating knowledge, if the knowledge is to be used in practice, must be contextualized. Who are the individuals who will use it? What are their needs, perspectives, ways of working with the information they receive? What are the objectives *they* seek, and how might the research potentially support those? All of these questions shape the approach and communication of the knowledge and, long before that, they need to shape the creation of the knowledge – the research agenda and specific methodological elements. Behavioural decision theory and situated cognition theory suggest that the context, motives and pre-existing knowledge or perceptions of decision-makers shape the way in which they view research.[2] [3]

The more carefully researcher and user select each other, the greater the chances of success. Researchers need to be conscious of the limitations of their research work (mandate, scope, resources, timeframe, etc.) and users need to be clear and considered about what knowledge would be most useful to them and how they would use it.

[1] DFID, RIU page, http://www.comminit.com/dfid/content/research-use-riu
[2] National Research Council (2012). "Research on the Use of Science in Policy: A Framework". *Using Science as Evidence in Public Policy*. Washington, DC: The National Academies Press, 2012.
[3] Trostle J, Bronfman M, Langer A. (1999) "How do researchers influence decision-makers? Case studies of Mexican policies". Health Policy Plan 1999; 14:103-14.

Neither of these conditions can be taken for granted – indeed experience demonstrates that neither group understands very well what the other does. As a result, researchers typically have difficulty framing questions whose answers are useful to decision-makers, and at the same time decision-makers struggle to define their needs in terms that can be addressed by scientific evidence.

**Fig. 1 Research / User common interests**




A robust engagement between the two parties early on in the research initiative helps create a common understanding and contributes to research that is based in part on the needs of the user. [4]

> *Influence is born of trust and relationships, not having a clever paper.* – (Shucksmith, 2016)[5]

So if one is to develop an RiU strategy to address this intent, we believe there are five main elements that should be considered:

1) Clarify the specific outcomes or changes to which the research is intended to contribute; these are at the core of any RiU strategy. These should always be defined in relation not only to the problems, but to the demand, or potential for changes to occur (e.g. if decentralized planning and budgeting processes have just been introduced, there is likely to be demand for evidence-based analytical tools to prioritize local government infrastructure funding requests). This step therefore requires careful consideration not only of the change in policy or practice that is envisaged but the context in which change is expected to occur.

2) Strategically select specific stakeholders who are best positioned to implement the intended outcomes, and who are (potentially) accessible to the researchers. A research team may initially identify a wide range of possible stakeholders, and may choose to maintain contact with a large number of them, but resource

[4] Family Heath International. (2012) Eight Strategies for Research to Practice. FHI 360; and Rosekrans, Kristin (2006). Using Participatory Research and Informed Dialogue to Influence Education Policy: Lessons from El Salvador. *Journal of Education in International Development* 2:2, among others.

[5] We are indebted to Katharine Vincent for drawing this publication to our attention, in her presentation on RiU to the DECCMA consortium workshop, Aug 31 2016. See resource list in Appendix 2.

limitations mean it is important to select only a few for more intensive interaction.[6]

3) Develop strategies to engage stakeholders. At this point it is important to tailor the different strategies to the situation of each stakeholder, because they can vary significantly. To create these stakeholder-by-stakeholder tailored approaches, the researchers would take into account the needs, context, motivations and objectives of each stakeholder – the contextualization questions referred to in the RiU description above.[7]

4) Build relationships with each targeted stakeholder. This is an ongoing process of trust-building and deepening relationships over a long time period. With large institutional stakeholders such as governments, it can take years.[8]

5) Conduct high quality research – stakeholders want to know they can rely on the information given to them by the research institution. Over time, the calibre and relevance of the research contributes to the research organizations's reputation, which is key to relationship-building.[9]

It is sometimes useful to develop RiU strategies at a high level initially, but they tend to be more effective when they are more specific. For complex, multi-faceted research undertakings such as those being conducted by the consortia in the CARIAA initiative, an RiU "strategy" would likely be composed of a series of strategies, each tailored to a very specific outcome (e.g. change in agricultural policy to facilitate smallholder credit access) and a specific stakeholder (e.g. Director of Agricultural Support Programs, Min of Agriculture).

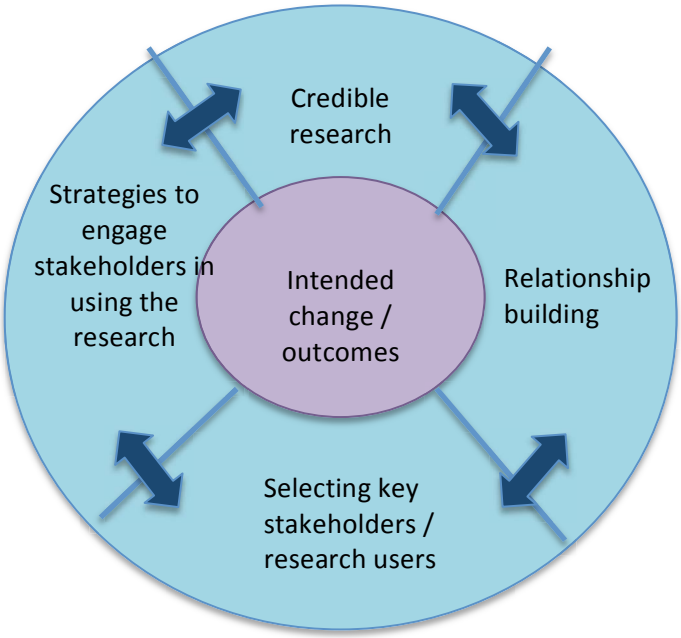
[6] GGBP: Green Growth Best Practice. Best Practice Report: Green Growth in Practice: Lessons from Country Experiences. http://www.ggbp.org/node/118; and **Family Heath International. (2012) Eight Strategies for Research to Practice. FHI 360, among others.**

[7] Tsui, Lily with Chapman, SA, Schnirer, L, and Stewart, S. (2006). *A Handbook on Knowledge Sharing: Strategies and Recommendations for Researchers, Policymakers, and Service Providers.* Community-University Partnership for the Study of Children, Youth and Families, Edmonton, Alberta; and Schilling, JM, Giles-Corti, B, Sallis, JF. (2009) Connecting active living research and public policy: transdisciplinary research and policy interventions to increase physical activity. J Public Health Policy. 2009;30 Suppl 1:S1-15. doi: 10.1057/jphp.2008.59; and Stamatakis, KA, McBride, TD and Brownson, RC. (2010) "Communicating Prevention Messages to Policy Makers: The Role of Stories in Promoting Physical Activity". J Phys Act Health. 2010 March ; 7(0 1): S99–107.

[8] Sinclair, Marie-Louise. "Developing a model for effective stakeholder engagement management." *Asia Pacific Public Relations Journal* 11.5 (2010): 34-41; and Otten JJ, Dodson EA, Fleischhacker S, Siddiqi S, Quinn EL. Getting Research to the Policy Table: A Qualitative Study With Public Health Researchers on Engaging With Policy Makers. Prev Chronic Dis 2015;12. http://www.cdc.gov/pcd/issues/2015/14_0546e.htm, among others.

[9] Otten JJ, Dodson EA, Fleischhacker S, Siddiqi S, Quinn EL. Getting Research to the Policy Table: A Qualitative Study With Public Health Researchers on Engaging With Policy Makers. Prev Chronic Dis 2015;12. http://www.cdc.gov/pcd/issues/2015/14_0546e.htm.

**Fig 2. Elements of Research into use (RiU)**




Although the plan would initially be conceived in a linear manner, its implementation should be iterative and adaptive, moving forward in a conscious and reflective way that can respond to emerging opportunities. Interaction with change agents is likely to help researchers to better frame the outcome they are contributing to. Sometimes a window of opportunity will open unexpectedly, and the consortium needs to be flexible enough to seize the moment and adjust its RiU strategy around it.

One of the DECCMA team members observed that researchers have changed their perspective over the last 10 or 15 years and now have become convinced of the importance of engaging with policy-makers, as government has become increasingly interested in what academia can offer them to support their own work. "We are going through a transformation process together, we and the policy-makers."

Researchers tend to underestimate both their potential influence on policy, but also the challenges of identifying appropriate opportunities and communication mechanisms for such influence. A recent Carnegie Trust study (Shucksmith 2016) cited by DECCMA's RiU team includes the following nugget[10]:

> Evidence from university research was most trusted by policy makers, but least used. Policy makers tended to use information from the media and internet, and also third party outputs (e.g. think tanks) because it was more understandable.

[10] Cited by K Vincent in her powerpoint presentation to DECCMA, Aug 31 2016.

# 5. Outcomes, early results and influence strategies - Observations

Consortia are at varying stages of development, and take varied approaches to their RiU work. For this reason, our observations on research outcomes and strategies to reach them are presented separately for each consortium. Section 6 will provide our analysis and discussion of these observations, along with program level considerations. In this section of the report, we start in the case of each consortium with a brief summary of stated outcomes, and then summarize observations of early or intermediate results that can be directly linked to those outcomes. We discuss the strategies to influence outcomes that we observed among consortium members, staff and partners, and additional observations on gaps or opportunities in each case.

## 5.1 ASSAR

ASSAR works in eight countries, and focuses on local responses to climate stress in semi-arid zones. We had the opportunity to interact with the program team and stakeholders in Ghana only. Information in this section came from:

a) documentary review and background discussions with ASSAR program leadership
b) field visits and stakeholder meetings in Lawra and Nandom Districts, Upper West region (see list of participants in Appendix 1)
c) interviews with ASSAR West Africa coordination team, mostly in Accra
d) interviews with student researchers in Tamale
e) interview with Director of Agriculture in Accra

ASSAR is organized regionally. In West Africa (Ghana and Mali), ASSAR is a partnership between START, the Institute for Environment and Sanitation Studies (IESS) at the University of Ghana in Accra, and ICRISAT in Bamako, Mali. ASSAR has a regional coordinator for West Africa (based at START in Washington), a regional RiU coordinator based in Accra, and shares a country RiU coordinator position with DECCMA in Ghana. IESS works with ASSAR partners to undertake research in the Lawra and Nandom districts of the Upper West region of the country. Selection of field sites as part of the Wa-Bobo-Sikasso transect was intended to foster direct linkage to the CGIAR's Climate Change, Agriculture and Food Security (CCAFS) initiative as part of its Dryland Systems Collaborative Research Program.

### 5.1.1 Outcomes, Early Successes and Intermediate Results

ASSAR's Theory of Change and related logframe identify intended program outcomes, but in the recently completed regional impact pathway for West Africa, the formulation of ASSAR outcomes has been articulated slightly differently as follows:

- Governments, institutions and development programmes better address issues of climate change.

- The use of climate smart alternatives for effective agricultural intensification (livestock and crops).
- Increased dialogue on climate change adaptation and food security between actors at national, district and community levels.
- Various stakeholders are active in influencing policy makers and private sector and raising awareness on climate change and food security.

*What early successes, or intermediate outcomes, have been achieved at the consortium level?*

ASSAR has completed a Regional Diagnostic Study and regional impact pathway to guide RiU efforts, as an important intermediate result. It is in the process of implementing transformative scenario planning (TSP) in both Ghana and Mali. These measures will help it to focus RiU efforts. Strong local stakeholder relationships have been established, but need nurturing in order to effectively support RiU.

ASSAR's Regional Diagnostic Study was completed in 2015 and established baseline issues for research, partly determined by stakeholder consultations, within the regional priority on agricultural intensification established by the consortium. Research is conducted each year in the field by student researchers along these themes. Each year, there are 4 Master students and 2 PhD students who participate in the program through an open competition. Student researchers must align their research theme with ASSAR's priorities.

In the beginning of this third year of activities, the program has introduced two initiatives: the development of an impact pathway aimed at rendering a global vision of ASSAR's work through to eventual outcomes, and transformative scenario planning (TSP) workshops in both countries, Ghana and Mali. The TSP consists of two sequential workshops in each country, engaging community and district level leaders. The initial workshop shared scenarios related to climate change and impacts, and the second will seek consensus on potential options and action plans to face these local climate issues. Because at the time of our fieldwork the regional impact pathway had just been completed, and the TSP's were still underway in both Mali and Ghana, our observations reflect the fact that ASSAR's formal strategies for influencing outcomes were still under development.

In West Africa, ASSAR focuses its efforts mostly on agricultural intensification and climate change adaptation practices at the local and district level, through the work done by the student researchers, stakeholder engagement efforts and the new TSP initiative. Research results have been produced and a series of working papers and publications are beginning to appear, such as findings on vulnerability and adaptation,

or barriers and enablers of adaptation in the region, but this information has not been shared with stakeholders.

Stakeholder interviews at the district level showed there was considerable interest and enthusiasm for the first TSP workshop in which they had participated. However most of them also had little understanding of the research that had been carried out in the field. While they left the workshop with a greater appreciation of climate change issues and for climate smart agricultural intensification alternatives, they also felt they had very little relevant new information that they could apply.

Community stakeholders mentioned their engagement in stakeholders meetings in a positive way, but emphasized that they would also like to get something from the project in return. ASSAR staff had explained to them that research results would be shared in the second phase of the project, but they find this to be a very long delay and would prefer to have regular updates of information and knowledge. Most of the stakeholder engagement so far seems to have been driven by the need for data inputs to the consortium's RDS and TSP's, with limited attention to long term relationships with stakeholders as allies for effective RiU.

### 5.1.2 Influence Strategies, RiU Methods and Tactics

*What are the strategies that have contributed to achieving these initial or partial outcomes?*

The ASSSAR implementation team have been able to attract attention and interest in Ghana through stakeholder engagement at the local level, but have not devoted similar efforts in working with national stakeholders who can influence policy dialogues, despite the high potential for policy level influence through the personal networks of IESS and its director. The potential for influencing these stakeholder networks can be realized through better relationship nurturing, communications and knowledge sharing.

With ASSAR in Ghana, there has been a lot of stakeholder engagement and field research at the local and district level, and strategies for influence appear to be emerging at this level through both the regional impact pathways and the TSPs. ASSAR uses the regional impact pathways, which are developed with partners, to guide strategies for RiU. Activities are meant to align with the impact pathway, which guides the development of outputs and communications products.

The program's impact pathway identifies the barriers to agricultural intensification identified during the baseline study (rainfall, conflicts between water users, access to land, disconnect in governance), the key activities or enablers to address these, the program strategies and approaches, the expected outcomes and required inputs. Many

of the listed strategies concern the production of outputs, with the same strategy used for multiple outcomes and diverse target groups. They mention the need for workshops and dissemination, but include no guidance for differentiating or targeting audiences, partner capacity building, and producing communications products or knowledge application based on research results tailored to different categories of stakeholders.

For example, the main strategy for the first outcome (Government, institutions and development programmes better address issues of climate change), consists of ASSAR partners participating in workshops of other platforms or projects and the production of policy briefs. The influence of IESS and its director are also mentioned, because of his involvement in Ghana's national climate adaptation plan, his experience presenting to the President, and his participation at COP, as well as other prominent international meetings. There is no doubt that the influence of IESS and its director gives ASSAR credibility and profile in the country. But this is not a result of ASSAR activities nor of any explicit strategy on the part of the consortium, and this influence has so far not been applied in any strategic way to influence program outcomes.

For the second outcome, (the use of climate smart alternatives for effective agricultural intensification), the main strategy is for the student researchers to identify which alternatives are effective for later dissemination through appropriate publications, guides and local workshops.

For the third outcome (the increase of dialogue on climate change adaptation and food security between actors at national, district and community levels), the main strategy is to promote dialogue between actors and stakeholders. For the fourth outcome no specific strategy has been documented, but the team gave the example of a current agreement with Ecobank to assist the bank in its grant making process, by advising on whether agriculture sector proposals are climate smart. This is a good example of a deliberate effort to influence outcomes, and there are probably more we did not uncover, because they are not documented or embedded in a systematic strategy.

Research activities have been underway since last year, with graduate students in the field each year for 5 – 6 weeks to do research. But this research activity appears to be disconnected from the parallel stakeholder engagement efforts at the local and district levels, for example through the TSPs. Community organizations and leaders who have been consulted to host the research or to provide data inputs essential to the research, seem not to have been offered any supporting information or results so far, and we could find no mechanisms, procedures or intentions to communicate these results to the local stakeholders involved.

In Ghana, national policy does not seem to be a priority for influence, although the stated outcomes require policy makers to be engaged in dialogue and stakeholders to be working with them to influence policy. Policy influence seems more linked to the personal networks of the Institute of Environment and Sanitation Studies and its

director, then to explicit strategies. For example, there are no strategies or activities yet for engagement with national agricultural policy officials, although relationships already exist because of the players involved. Nor does there seem to be any strategic effort so far to link either with national adaptation planning or to provide support to district level budget planning, both opportunities identified in Ghana by DECCMA (see below). One limiting factor that was mentioned is the political polarity in the country, which makes it difficult to engage with parliamentarians in particular.

Similarly, we found limited evidence of collaboration with other climate change adaptation projects in the country operating in similar domains and intending similar outcomes, despite the original intent of collaboration with CCAFS. The program focus in West Africa (agriculture intensification) will undoubtedly constrain the prospects for fruitful exchange on other topics, but there would seem to be projects that overlap with agriculture, such as water management, governance, etc.

## 5.2 DECCMA

DECCMA works in four deltas in three countries: the Indian Bengal Delta (IBD) of the Ganges and the Mahanadi Delta in India, the Ganges-Brahmaputra-Meghna (GBM) Delta in Bangladesh and the Volta Delta in Ghana.

The information summarized in this section came from four main sources:

a) attendance at the DECCMA consortium meeting where the evaluators obtained reports from all the delta and research package teams of the consortium, including the RiU team, as well as an RiU discussion facilitated by the evaluators,
b) around the edges of the consortium meeting, brief meetings with the teams from Bangladesh, Ghana and the Mahanadi Delta in India;
c) after the consortium gathering, meetings in Kolkata with team members from the Indian Bengal Delta (IBD) team,
d) meetings in Kolkata with government, academic and NGO stakeholders related to the IBD team;
e) a skype interview with officials from the General Economics Division of the Planning Commission, a key partner in the government of Bangladesh for the GBM team.

In the case of DECCMA, the evaluators were able to meet with representatives of all the country research teams, giving us a broader base of material. On the other hand, we were only able to arrange a limited number of stakeholder interviews related primarily to the IBD and, in the case of one stakeholder, the GBM.

### 5.2.1 Outcomes, Early Successes and Intermediate Results

DECCMA's ToC specifies its key research outcome as:

- Actors in planning, programme, policy and research use a range of evidence-based, tested options to enhance and support deltaic communities' livelihoods in "hot spot" regions in the face of climate challenges, now and in the future, in ways that benefit the most vulnerable.

The consortium identifies 4 specific changes in its ToC that it expects to achieve over the life of the program:

1. Awareness and engagement – target actors become aware of DECCMA's evidence on adaptation and migration
2. National endorsement – key champions in national policy and planning processes endorse DECCMA concepts and evidence in their spheres of responsibility
3. International endorsement – partners in positions of influence in key processes endorse DECCMA concepts and evidence in key global policy documents
4. Demand – key actors demand DECCMA evidence products to improve their adaptation / migration policies, approaches and investments

*What early successes, or intermediate outcomes, have been achieved at the consortium level?*

DECCMA researchers have established effective relationships with state and national level government officials in all three countries where they work, and there is evidence of early consortium research results being applied to influence government actions already.

Here we identify early achievements in application of these changes and outcomes, in building of strategic relationships to strengthen influence, as well as promising initiatives that seem likely to lead to greater application of research results in the near future. The results are presented, as the program is structured, by delta site.

**Mahanadi Delta, India**

In this region, consortium members have established working relations with the State of Odisha Department of Forests and Environment and Department of Disaster Management. Early signs of concrete progress towards achieving outcomes include the following:

- DECCMA researchers have been invited to provide written comment on OdIsha's Climate Change Action Plan, which will guide state level adaptation policies and investments.

- State officials have acknowledged, partly as a result of DECCMA research, that there is a paucity of gender disaggregated data related to climate change and disaster management, and they are now creating a gender cell to begin to track

gender specific information and better integrate gender into policies and management plans.

- Migration experts in the department said they had no data on migration from the Mahanadi delta because their attention has been on migration from the poor central highlands of Odisha. DECCMA research showing significant migration from the delta has led to a decision to initiate a labour migration registry at the local Panchayat level, to capture new data on migration in this area. It is anticipated this data alone will influence policy decision-making. Migration has historically been viewed as a sign of policy *failure*, and the research team is trying to highlight the positive aspects of migration as an adaptation strategy.

- The National Remote Sensing Centre (NRSC) manages disaster data for the national government. After many years of informal connections between scientists at the NRSC and researchers who are now part of DECCMA, the NRSC has now created a web portal that will showcase the DECCMA research outcomes. DECCMA data will be directly accessible to government planners and to the public for review, downloading and application.

**Indian Bengal Delta, India**

The deltas of the Ganges spread across thousands of square kilometers and are home to tens of millions of people in both India and Bangladesh. The Indian portion is known as the Indian Bengal Delta (IBD) as it is located in the state of West Bengal, and more usually referred to within Bengal as the Sundarbans. The DECCMA consortium members have so far pursued a strategy involving two main targets for policy influence: the state of West Bengal and NGOs working at the state and national level.

- West Bengal State Climate Action Plan (CAP): Mr Debal Ray, Chief Conservator of Forests, was heavily involved in creating the current CAP. He emphasized that the National Climate Action Plan and State Climate Action Plan are the main mechanisms for policy application of research related to adaptation. Although not very familiar with DECCMA, he indicated that DECCMA researchers were involved in authoring the original CAP chapter on the Sundarbans. He expects they will also be involved in upcoming revisions of the CAP, and will use DECCMA research results when they do so. Policy makers are being gradually sensitized to the importance of research in this area, and he gave various examples of this, including two related to DECCMA research: at a Ministry of Forest Productivity meeting the previous week DECCMA data on the Sundarbans was quoted by one

> *"Climate change will be the single greatest factor in the future of the people of the Sundarbans. The research from DECCMA and other sources will be used (in framing government actions)."*
> - Debal Ray, Government of West Bengal

of the participants, and recent work on a 100-year projection of the future of the mangroves used in part the research of the IBD team.

- WWF India uses DECCMA data in their conservation work: An interview with Dr. Anurag Danda, Program Lead for Climate Change Adaptation at WWF-India revealed that WWF has worked for decades in the delta on conservation programs including those related to the Royal Bengal Tiger Reserve, and relies extensively on research from Javadpur University, a consortium member with whom they have collaborated since 2000. For example, through risk and social vulnerability mapping, DECCMA was able to indicate areas of high risk in the Sundarbans and this has allowed WWF to better target some of their programming. Dr. Danda pointed out that the relationship is with Javadpur University, so it is not always clear what is DECCMA research and what is other research by the university, however certainly DECCMA data has figured in the material they have used so far, and he anticipates that this will continue through the end of the program.

> *"Much of our work in the Sundarbans is founded on JU research. To me, they are the go-to institution."*
> – Dr. Anurag Danda, WWF India

- DECCMA results are likely to be used for WWF funding applications. The Green Climate Fund window is now open and WWF believes that the Sundarbans are a high priority candidate, partly because of mitigation co-benefits e.g. through re-forestation of abandoned islands or areas. WWF plans to use information from DECCMA research as input to a GCF proposal it is planning in conjunction with relevant national government ministries.

- Political influence: WWF has met with the 19 MPs from the Sundarbans about future impacts of climate change, and they understand that some islands and areas in the Sundarbans cannot be saved and will be inundated. As politicians, they are willing to take the necessary decisions, based on sound scientific advice, however they do not want to be the ones to say which villages and farmlands must be abandoned. They need a credible outsider to do this and Dr. Danda is willing to play this role, with the data provided by DECCMA and others.

> *"We see ourselves as the bridge between science and the decision-makers, between research and policy makers or the community, bringing research into action and applying it on the ground. We are more sure-footed because we can rely on the quality of the research (from DECCMA)."*
> – Dr. Anurag Danda, WWF India

- Local government: DECCMA researchers have provided vulnerability mapping and analysis at the request of local decision-makers seeking advice on where to

locate cyclone shelters. Many shelters have been built in low risk communities rather than high risk ones because decision-makers do not have the relevant data.

- Local NGOs and farmers: Although these stakeholders are not a major focus for DECCMA in the IBD, local organizations and residents have shown considerable interest in practical adaptation information, such as rice varieties and fish species (for aquaculture) or embankment maintenance practices that are best suited to changing conditions.

**Ganges, Brahmaputra, Meghna (GBM) Delta, Bangladesh**

Outcome strategies in Bangladesh in the GBM have focused primarily on the national government, although there has also been some research uptake at the local level.

- GED (General Economics Division), Planning Commission. Members of the DECCMA research team have been asked by GED to contribute to the Government's Bangladesh Delta Plan 2100. There is some indication that DECCMA comments have changed how the government thinks about the Delta Plan, for example, around the role of migration as a feasible adaptation strategy. DECCMA Bangladesh PIs, Drs. Munsur Rahman and Mashfiqus Salehin of the Bangladesh University of Engineering and Technology (BUET) are now formal advisors to the government on this subject. GED officers report that they especially appreciate the long-term integrated modelling features of BUET's work, which fits well with their planning horizon.

Drs. Munsur Rahman and Mashfiqus Salehin of BUET are now advisors to the government of Bangladesh on the Delta Plan 2100.

**Volta Delta, Ghana**

Work in the Volta Delta has included progress towards outcomes at the national and district levels.

- National Development Planning Commission: The DECCMA team includes an official seconded from the Commission, which has greatly facilitated collaboration on common concerns about climate change. In particular, the Commission sets the criteria for district level funding, which have been modified to now include adaptation plans and measures. The ten districts in the coastal area need reliable information on which to base their plans, and districts working with DECCMA feel that the consortium research will help them develop credible adaptation plans and practices that will improve their chances of funding.

- The National Development Planning Commission Director is interested in organizing a dialogue between DECCMA researchers and key Commission staff, other ministries and MPs related to the delta.

- MP in coastal region: The DECCMA team produced a video from a drone dramatically illustrating the impact of storm surges on a coastal village. Based on this video, a local MP has become very interested and is taking the issue of adaptation forward, including specific concerns about relocation of affected villages.

- District government: Officials at the district level have indicated to DECCMA that they would like information on forecasting waves and surges, and would use this data to plan safety measures in their communities.

### 5.2.2 Influence Strategies, RiU Methods and Tactics

*What are the strategies that have contributed to achieving these initial or partial outcomes?*

We report in this section on the actual strategies that we observed in practice. DECCMA is in the process of revising and updating its RiU strategy, which does not yet incorporate these observed strategies.

DECCMA researchers have been able to influence government actions primarily through the cultivation of personal and professional relationships with key officials. Sometimes these relationships have emerged through assiduous effort, sometimes through stakeholder engagement and sometimes through serendipity, but the researchers have recognized their value. Interaction with government officials has led to adjustment of the scope of research work by the consortium, and to sharing of preliminary data in relevant contexts.

**Strategies with National Government Agencies**

Among the India team, some research team members are well connected at the state level, but there are more significant challenges at the national level because of central government workloads and distance. In a strategy to access national government policy-makers indirectly, the IBD team in India has worked with WWF India, to build relationship and trust over the past 15 years. WWF has now come to rely on Jadavpur University researchers for much of their data on the Sundarbans. WWF is now working with the national Ministry of Environment and Forests to prepare a GCF funding application using DECCMA data among other sources.

The team has been able to establish data-sharing protocols with the National Remote Sensing Centre (NRSC), located in Hyderabad. An NRSC representative has become a member of the Mahanadi Delta team. This key individual at NRSC and researchers who now form part of the DECCMA team had met each other many times at various scientific forums over the years. Through this relationship, the NRSC is now prepared to offer a portal for DECCMA research results to be shared for use by national government agencies.

In Bangladesh, the DECCMA team has benefited from a relationship built with the national government through a previous project funded by ESPA. During the course of the ESPA project, BUET was involved in data sharing with GED that created a bridge for DECCMA to continue be involved with their high level national planning work.

This is not the only route that the Bangladesh team is using. They are in regular contact with line officials, working to bridge the "gap between science and policy". One of their observations was that policy opportunities were often unpredictable and time-sensitive, so they needed to be prepared with a range of accessible information They try to maintain contact with many different officials, so if some leave, the relationship with government does not collapse.

The window of opportunity to impact government policy can come without advance notice, and it is important to BUET that they were, as they put it, "poised and ready when the moment came."

DECCMA team members also try to understand the research needs of their government counterparts. If government contacts are involved throughout the research process from the beginning, then the information is more likely to meet their needs. The team has been able to do this in part through national stakeholder workshops. Based on feedback the Bangladesh team received from one such workshop, they modified their study area definition to include two more districts to represent the entire coastal zone as formally defined by the Bangladesh government, which ensures that the research data will match the scope of national planning mandates. In addition, the stakeholder workshop provided useful feedback on the range of issues to consider in the DECCMA research on adaptation and migration.

An anecdote from the Bangladesh team illustrates the vagaries of influence strategies. Several years ago, the Bangladesh government undertook a long term project on the future of the GBM delta. BUET sent a letter to the government, expressing interest in the delta work and offering to share relevant research results. The letter apparently was lost. BUET followed up repeatedly and eventually went to the Minister's office, where there was some embarrassment that a formal letter from national experts at the country's top technical institute had been misplaced. Partly as a result, the Minister himself directed GED to follow up with BUET, establishing a high-level connection that has continued into the DECCMA project.

A primary focus for the Bangladesh team is the Planning Commission, as it has authority over other ministries and leverage over public expenditure planning. Other ministries are also important, notably the Bangladesh Climate Change Trust (BCCT) under the Department of Environment and Forestry, which is in charge of allocating funds for adaptation projects, and the Ministry of Disaster Management.

A helpful tactical approach has been for the research team to deliver workshops that are sponsored and co-organized by government agencies, which results in better participation and ownership than merely inviting government staff to research workshops. The DECCMA team, through BUET, organized a joint workshop with the Ministry of Disaster Management and Relief, to which the Ministry invited other relevant officials from the Ministry of Environment and Forestry, Ministry of Water Resources and the Planning Commission – there were 39 participants in all. The high level of effort involved on the part of the DECCMA team paid off in the development of working relationships with key line agencies who were able to work with BUET to formulate some specific research questions of interest that will likely generate government followup.

In Bangladesh, the Planning Commission representatives revealed that despite their good working relationship with BUET, there is some reluctance to base key policy decisions on academic research results. This is partly because they lack the internal resources to critically review the research, and partly because such conclusions tend to change over time as new results become available. In part, this unease reflects a misunderstanding of how science works, and they are making efforts to better understand the research world, e.g. through supporting one of their professional staff to do a PhD through the DECCMA project. BUET is conscious of the need for better mutual understanding between researchers and policy makers, and works hard to communicate research in ways that are sensible to policy makers, while also sending graduate student interns to various key ministries.

In Ghana, where work focuses on the Volta Delta, there have been two main strategies to strengthen research use outcomes. The Ghana team has established an excellent relationship with the National Development Planning Commission, including having a key official of the Commission seconded to the DECCMA team. This has strengthened the exchange of knowledge between the research team and the Commission on adaptation issues. The DECCMA team also used a drone to film dramatic footage of the impact of storm surge waves on a coastal village in the Volta Delta, and, recognizing the video's high communications impact, shared it with a local MP. He was quickly engaged in the issue, so DECCMA is following up to explore appropriate actions and policies.

**Strategies with State Government Agencies**

As an indication of an emerging strategy, the Mahanadi Delta team has identified priority stakeholders at the state government level in Orisha, which include in order of

priority: Revenue and Disaster Management Department (especially the Rehabilitation and Resettlement cell), Department of Labour, Panchayati Raj Department, Forest and Environment Department.

"They don't like to be dictated to so by putting them in the lead role, we got their buy-in."

As in Bangladesh, they have found from experience that official participation in workshops is higher if the workshops are jointly sponsored by government agencies. A joint workshop with the Disaster Management Department provided an opportunity for officials to showcase their own data, as well as sharing DECCMA research results. When the government co-sponsor invited other ministries to attend, this was more effective in identifying and attracting relevant officials to deepen the network of contacts for DECCMA researchers. Taking their cue from this experience, the IBD team also has found higher participation rates through co-organizing workshops at a time most convenient for the government participants.

Maintaining regular contact with a range of government officials over a sustained period of time is important for laying the foundation for these types of strategies. The credibility of the researchers is built up through the quality and the relevance of the research to officials – neither of these matter, however, if there is not a good relationship between the individuals involved that is nurtured over time.

A key government stakeholder interviewed during the field visit, Debal Ray of the Department of Forestry, indicated that it is often very difficult to make connections at the institutional level, because of the complexity of formal government processes and relationships. Instead, officials generally use personal connections to find data and to stay abreast of research developments. He gave the example of Climate Action Plan inputs for the state government, highlighting that neither DECCMA nor JU will be contacted as a formal entity but rather individual researchers known to key officials will be invited in their personal capacities, and will "tuck the research under their arm as they come in".

**Strategies with Local Government and Communities**

All the DECCMA teams mentioned the importance of local stakeholders (local or district government officials, village leaders, farmers, fishers, local residents) for implementation of adaptation measures, and there has been extensive engagement with stakeholders at this level. However, most of the interaction appears to have been focused on obtaining input about research issues and gathering data for the studies being undertaken.

For example, the Ghana team indicated that they changed their methodology for data collection based on feedback from local stakeholders and also altered the scope of districts included in the study based on feedback from the District Assembly. These are

both actions that would logically lead to research results that are more useful at the local level, and thus hopefully to greater uptake, but the work does not yet appear to be at a stage where results can be shared.

In Ghana, the National Development and Planning Commission has included adaptation in the application criteria for the District Development Fund, which is the budgeting and public expenditure planning mechanism for local districts across Ghana. In many instances, district officials do not have access to reliable information about appropriate, evidence-based adaptation measures. For districts in the Volta Delta, the DECCMA research provides credible and useful information to back up district adaptation plans and strengthen the justification and scoring for their budget requests in competition with other districts.

DECCMA team members from all four deltas explained various techniques they already use for sharing adaptation practices from their research with local stakeholders, including: posters, local meetings, radio, videos, puppet shows, storytelling or songs, plays, and so on. DECCMA is also planning to use the FAO story-map tool on their web portal for national or international audiences. They observed that it is helpful to visit local areas regularly so that the researchers and local contacts can get to know each other, and trust is gradually built. However, at the same time, the researchers are conscious that every time they meet with local people, the expectations are raised. They are concerned that while local stakeholders are generally looking for immediate and practical information (confirmed by the evaluators' field visits and meetings), research results take time to generate with confidence. Resolving these contradictory expectations is one of the key challenges they see for RiU at the local level.

## 5.3 HI-AWARE

HI-AWARE is focused on climate change adaptation and resilience in three glacier- and snow-fed river basins that have their source in the Hindu Kush Himalaya region (HKH): Indus, Ganges and Brahmaputra. Although the river basins cross international borders, adaptation decisions are generally made within national borders, and so it is more effective in most cases for influence strategies to be undertaken on a country basis rather than on a watershed basis. Consequently, the information in this section is summarized by country: we were able to collect information on two of the four countries involved.

Our information came from four main sources:

a) discussions with members of the HI-AWARE research team at TERI and at ICIMOD;

b) discussions with three strategic field partners in India and Nepal: Centre for Ecology, Development and Research (CEDAR), The Mountain Institute, and Practical Action;
c) interviews with national government stakeholders in India and Nepal,
d) a site visit with local stakeholders in Chitwan, Nepal.

### 5.3.1 Outcomes, Early Successes and Intermediate Results

HI-AWARE defines its program outcome as follows:

- Key stakeholders in planning, policy, practice and research use a range of evidence-based and tested climate change adaptation innovations to support livelihoods in the HI-AWARE basins (Teesta, Gandaki, Upper Ganga and Indus) in ways that benefit vulnerable women and men

The program has defined target groups for influence and the types of behavioural changes they would expect to achieve, including:

- NGOs and civil society organizations effectively engage in policy advocacy to address issues related to climate adaptation
- Academics and research institutions use research findings in their research and education programs
- Media organizations are more aware of climate change adaptation and communicate this to the public
- National and local governments are sensitized to use evidence based research and learning in implementing adaptation plans

*What early successes, or intermediate outcomes, have been achieved at the consortium level?*

HI-AWARE consortium members have used local stakeholder engagement and other networks to identify promising opportunities for influence at the local and national level, and have started to deliver early results and capacity building measures. We were able to identify a number of specific cases where HI-AWARE results have been, or are likely to be, taken up by decision-makers at the national, state and local levels.

**India**

Research uptake and use is starting to emerge at the local, state and national levels through work in India by TERI, along with strategic partners such as CEDAR and TMI. Relationships are promising, and although there has so far been limited uptake of results by the individuals / organizations we were able to interview, it seems likely that such material would be used in future adaptation plans and policies.

*"It is clear that TERI can be of great interest to us, and we will definitely work together."* Dr. Nisha Mendiratta, Department of Science and Technology

- The Department of Science and Technology is taking the lead on the National Mission on Sustainable Himalayan Ecosystems, one of eight missions under the national Climate Action Plan. The department is very interested in the climate modelling being done by HI-AWARE and sees this data as highly relevant to their work.

- TERI has been asked to give a presentation at the annual meeting of the Integrated Mountain Initiative (IMI) sharing some of their research results on adaptation in the Himalayas. The IMI is made up of the governments of all the mountain states of India, and their interest in the HI-AWARE research is a positive sign of future uptake.

- Dr. P.D. Rai, MP for Sikkim, is very interested in TERI research on glacier melt in the Himalayas, and other topics related to climate change adaptation in the mountains of his state, such as cardamom crops, traditional agricultural practices, access to water and the condition of springsheds. He hopes to apply research results to public policy in several areas, including in Sikkim, in the other mountain states and at the national level. He is an active member of the IMI and will champion HI-AWARE products in that forum. Dr. Rai is also well-connected to the Prime Minister's Office and the Minister of Environment on matters related to climate change.

- CEDAR has been asked by the government of the state of Uttarkhand to contribute to the review and updating of the state Climate Action Plan.

- CEDAR has been approached by several communities in the mid-regions of the Himalayas to help address their water access issues. They will transfer research results on water recharge structures in a way that combines traditional practices and scientific knowledge.

**Nepal**

Research into use efforts by ICIMOD have been primarily focused at the national and local levels in Nepal but have also attracted broader interest. As in India, we were able to identify significant potential for future application of research results, and indications of intent to use such results.

- ICIMOD was invited to present to Nepal's Parliamentary Committee on Agriculture and Water Resources on the link between remittance income and land fallowing. The Department of Agriculture is interested because there are significant challenges in obtaining accurate data. The Swiss embassy has agreed

to provide funds to allow the ICIMOD survey to be expanded and undertaken in two other districts.

- ICIMOD was invited by the European Parliament South Asia Delegation to provide a briefing on the upcoming IPCC negotiations and to advise them on recommendations related to the Himalayan region. This allowed incorporation of research results from HI-AWARE and other projects.

- The climate change downscaled modeling has been greeted with enthusiasm by government bodies working on the National Adaptation Plan in Nepal, and is eliciting interest from the governments of Bhutan, Myanmar, Pakistan and Bangladesh.

- The National Adaptation Plan (NAP) in Nepal is a tremendous opportunity to use data arising from the HI-AWARE research. Mr. Batu Uprety, the team leader heading up the nine working groups (each led by a government ministry) preparing the NAP, has requested ICIMOD to guide four of the working groups with relevant scientific data to underpin their portion of the NAP. When he was interviewed, Mr. Uprety emphasized the importance of reliable research, noting that NAP's predecessor had inadequate scientific foundations. ICIMOD is already working with the leads for each of the four working groups to agree on a common approach and understanding of the task and key terms such as risk and vulnerability in the context of climate change. The working groups will produce a document over the next 18 months, with ICIMOD providing technical support and knowledge. Their climate modelling will lead to scenarios and adaptation options which, along with data from two other research initiatives in which ICIMOD is involved, will be directly relevant to the NAP.

  *"We need more scientific data …. NAP should not be a political document. That is why we requested ICIMOD to guide us on science. Our closest partner will be ICIMOD."*
  Batu Uprety, Ministry of Population and Environment

- Mr. Kabindra Bikram Karki, an Under Secretary of the Ministry of Water Supply and Sanitation, expressed interest in ICIMOD datasets, including from HI-AWARE. Based on his discussions with ICIMOD, he believes the data can be used for many purposes related to water management. He suggested it would be helpful to involve ministries and agencies from the entire water resources sector of the national government, and would like to see two or three people in each of the key agencies trained in using the HI-AWARE data and software. This access and understanding will allow more evidence-based decision-making and science-based decision-making in Nepal which will be key in moving forward on adaptation.

- Mr. Ghendra Kesari Upadhyaya, Director General of the Department of Soil Conservation and Watershed Management in the Ministry of Forests, indicated that there is a longstanding and positive relationship with ICIMOD that he felt will continue through the HI-AWARE project. Mr. Upadhyaya also mentioned that the training by ICIMOD on springshed management was very helpful.

> *"The ICIMOD focus on research and interventions in different eco-regions of Nepal is very useful to the Ministry and we anticipate using it to help inform our plans."* Mr. Ghendra Kesari Upadhyaya, Director General of the Department of Soil Conservation and Watershed Management

- Mr. Jaymangal Prasad, Senior Forestry Officer and Under Secretary in the Department of Livestock Development, underlined the usefulness of the datasets arising from HI-AWARE, as well as other expertise at ICIMOD, and indicated that the data will be very helpful for the department. Livestock forage requirements are largely met from the forest, and are directly affected by rainfall and temperature. Data from ICIMOD will help the department forecast shortages and how to address them. For inaccessible communities and regions, this will be especially helpful as ICIMOD is able to capture the data remotely.

- Mr. Madhukar Raj Bhandari, Director General of the Department of Water Induced Disaster and Management, indicated that the research from ICIMOD would be useful for the department in understanding the factors involved in floods and landslides, including the linkages with rainfall intensity and temperature. His intention is to use the data in departmental planning processes to reduce hazards.

- Following a stakeholder workshop, the District Development Committee in Chitwan district requested capacity building for technical staff on climate change and its relevance for their planning and work practices. Together with Practical Action, ICIMOD will design and deliver a 6-month certificate program for local government officials on climate change to address this request. They will also invite participation of faculty members from Rampur Agriculture and Forestry University. Once this course is piloted and tested, ICIMOD will explore offering it on a wider basis.

- Another early action identified in Nepal from initial stakeholder consultations involved Rampur Agriculture and Forestry University. After they expressed interest, ICIMOD invited the university's participation through funding support to two master's level research projects, and support for faculty capacity building.

### 5.3.2 Influence Strategies, RiU Methods and Tactics

HI-AWARE consortium members we met have established effective working relationships with strategic partners who have strong local networks for knowledge generation and influence. In addition, they have identified key national stakeholders for adaptation policy as well as specific policy opportunities through which the consortium can readily influence decisions with timely evidence. They are aided in this effort by the scientific reputations of core member institutions built over many years.

HI-AWARE is in the process of revising and completing its RiU strategy. While we were able to identify a number of strategies already in use, not all of these have yet been documented or structured by the consortium.

**Strategies with National Government Agencies**

Both TERI and ICIMOD have developed relationships with a range of government contacts over a long period of time. We were able to identify half a dozen examples of influence strategies pursued by both institutions that are quite similar and include the following elements:

- Relationship-building: Connections with government contacts often start quite informally, for example, through attending the same scientific gatherings over the years. Relationships are deepened through careful listening in order to understand the research needs and interests of the government officials, valuing the advice and input of the officials, and framing the work of the research program in ways that connect directly to the context and policy priorities of the official and the government.

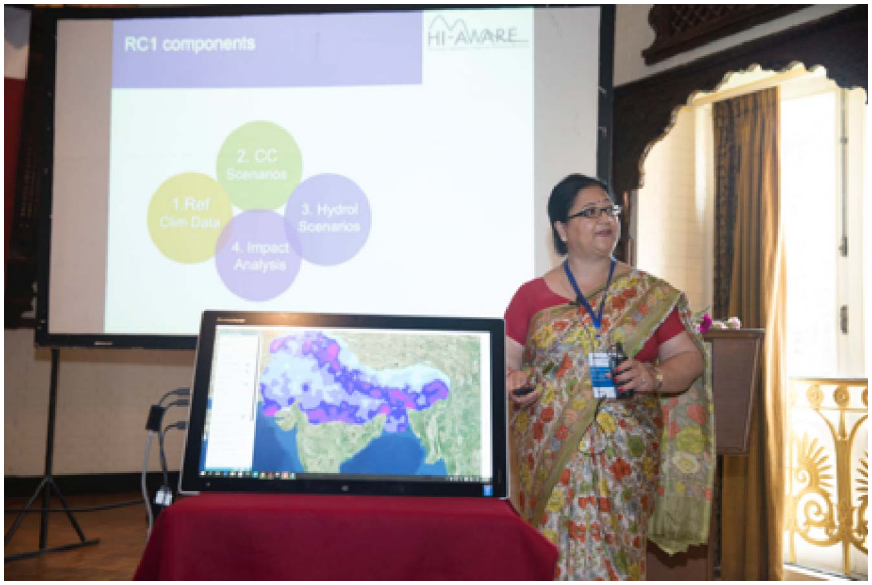
- Longevity: Maintaining and building relationships of trust often requires years, and the continuity of the research institution's presence builds confidence. Sometimes government officials stay in the same sector for many years, even though their role, position and policy priorities may change over time. This leads to a situation where a need arises within the government and the official involved, who already is familiar with ICIMOD or TERI, reaches out to inquire if the institution has relevant research or would be prepared to undertake it. For example, in the case of national Climate Action Plan in India, the government approached TERI to be involved. In Nepal, even officials who had not personally had any direct contact with ICIMOD because they were relatively new to their position were already familiar with ICIMOD's reputation.

- High quality research: Much of the credibility of the institution rests on the calibre and relevance of the research produced over the years. For example, in

the interviews with government stakeholders in Nepal, the officials repeatedly referred to ICIMOD's reputation for high quality scientifically credible research.

- Early engagement: ICIMOD tries to engage with stakeholders early in the research process to ensure that they understand the policy context and that research issues correspond to their needs. Ongoing interaction increases the chances of uptake once the research is completed. It also can help cement a relationship of mutual respect and partnership, which contributes to confidence in the research results.

- Sharing research results before publication: in its work with government agencies, ICIMOD recognizes the value of timely information and frequently shares results before they are published.




One of the stakeholder influence strategies used to positive effect by ICIMOD was the touch-table technology. The touch-table is an interactive screen (see photo), supported by software that enables climate modelling data from the HI-AWARE datasets to be projected. Participants at stakeholder engagement sessions from the local, regional and national levels were able to see different climate change factors, and various scenarios for future impacts, shown on the touch-table in an interactive and highly visual manner. The climate modelling data HI-AWARE is assembling (along with other research initiatives) can be scaled down to a 5-km grid, which makes it practical for planning at all levels, from local to national. Participants could immediately see the usefulness of the data which HI-AWARE can make available to them. However, the high cost of the equipment and the need for high-speed internet access in order to retrieve cloud-based data sets limit the scalability of the technology.

**Strategies with State Government Agencies**

The Centre for Ecology Development and Research (CEDAR) is a strategic partner in HI-AWARE which has extensive experience working with state level officials and with local communities and practitioners in the Himalayan region in India. Their longstanding relationship with officials in the state of Uttarkhand has led to them being formally invited to review the state action plan on climate change. This will be a key avenue for applying research arising from the HI-AWARE initiative. As one example, government officials have indicated to CEDAR that they are aware that springs in the hill regions (a key source of water) are becoming increasingly scarce and unreliable, and they seek scientific information and advice about how to respond to the situation.

**Strategies with Local Communities**

CEDAR also has cultivated relationships with local governments, particularly around water resource management where they have recognized expertise. They work with local institutions and community-based organizations to provide scientific knowledge to enhance traditional practices that some communities are bringing back.

ICIMOD has held several stakeholder engagement sessions, including with local stakeholders. In some cases, the touch-table technology featured in the sessions and visually demonstrated the type of data ICIMOD would be able to provide. Local practitioners have asked ICIMOD for information on adaptations, including assessments of their current adaptation practices and suggestions based on effective practices from other regions or communities that ICIMOD has collected through HI-AWARE as well as other projects. At this point ICIMOD is still developing a simple and appropriate method for sharing this information at the local level.

ICIMOD has used the HI-AWARE stakeholder consultations to extend its relationship with other institutions to influence outcomes. For example, while Rampur University researchers had collaborated on ICIMOD projects in the past, a new Memorandum of Understanding will open a path to broader future collaboration on research, capacity-building and knowledge sharing. The university supports an Agricultural Sciences Centre that could serve as a platform for farmer and investor extension. The Himalayan University Coalition is interested in incorporating climate change to a greater extent into their shared curriculum for Masters of Environmental Science. ICIMOD is helping them to integrate a gender component as part of this new curriculum.

Demonstration projects and pilots: Although ICIMOD is not yet at a point where HI-AWARE demonstration projects can be out-scaled, they have explained the strategy they would apply, based on previous experience in their Climate Smart project. That project set up a village demonstration site for climate resilient practices with farmers testing different approaches under active expert guidance. Successful approaches were promoted informally through networks of family and neighbours. As a result, the

practices spread autonomously to other nearby villages. On a more formal basis, ICIMOD also organized field demonstrations for national officials. A similar kind of strategy can be foreseen for the ten HI-AWARE demonstration sites (although none of these are in Nepal, where ICIMOD has better government networks).

## 5.4 PRISE

PRISE works in semi-arid regions, and is active in six countries in Africa and Asia, of which we were only able to visit Senegal. The program is structured so that a national level multi-stakeholder consultation process is central to program initiation to identify research themes and sites. This leads in each country to the development of specific research activities that are now underway in the selected sites, and should be generating initial results by the end of this year. This research has involved different stakeholders at the local level, but once results are available, the original national level stakeholders will be re-engaged to share results and begin to influence policy and private sector practice.

The information that follows was derived from:

a) a workshop in Saly bringing together 16 representatives of different stakeholder groups (government agencies, parliamentarians, private sector, researchers, civil society) and representing all 4 of the research projects underway in the country;
b) Field visits and interviews in Ross-Bethio, Louga, Dhara and Saint-Louis with agro-pastoralists, a researcher, a representative of the Chamber of Commerce and with the president of the national association of NGOs (FONGS);
c) Interviews in Saly with staff of Innovation-Environnement-Developpement Afrique (IED), the regional coordination body of the program in Senegal.

Our sources were severely limited by available time and resources, and by scheduling, all of which resulted in a small sample size despite considerable time devoted to travel. Readers should keep in mind these limitations, and the fact that our conclusions only apply to Senegal, as we had no opportunity to collect data in other countries. So while we are confident of the accuracy of conclusions in relation to the stakeholders we interviewed, their generalizability may be limited.

### 5.4.1 Outcomes, Early Successes and Intermediate Results

The expected outcomes from PRISE have evolved as the program has been implemented in Senegal. The consortium's original documentation identified its main outcome as:

- Increased understanding and commitment to climate resilient development in semi-arid regions of PRISE core countries, by government agencies, parliamentarians and elected officials, and the private sector.

The Senegal team has reiterated this as: "research results are integrated into policy documents at the national, district and local levels". In addition, in their outcome mapping documentation, the consortium identifies four outcomes:

- Awareness of PRISE research evidence and engagement;
- Commitment and national endorsement of PRISE concepts and evidence in policy and planning;
- Demand for PRISE evidence to improve adaptation policies, approaches and investments;
- Addressing gender inequalities around climate change.

*What early successes, or intermediate outcomes, have been achieved at the consortium level?*

PRISE has supported extensive stakeholder engagement in Senegal. The consortium has applied an innovative approach relying on stakeholder engagement to define research themes and sites, and used Outcome Mapping to identify key stakeholders to influence and relevant outcomes for the program. This has positioned the consortium well for potential influence on outcomes, which would need to rely on meaningful follow-up with the original key stakeholders to effectively realize this potential.

PRISE West Africa works in Senegal and Burkina Faso and is led and implemented by IED-Afrique. The program distinguishes itself from other CARIAA consortia by the fact that research themes and field sites were identified by national representatives of different categories of stakeholders and supported by an intensive stakeholder engagement strategy from the outset of the program. PRISE has produced a detailed strategy paper that presents the stakeholder identification strategy, the engagement plan, lessons learned from the first year of engagement and future planning for each thematic category.

In the workshop conducted with participating stakeholders, this new research approach was identified as the most significant program result so far (pending research results further down the line). This approach contrasts with traditional research by involving stakeholders at the start and responding explicitly to their requests. Normally, researchers choose the research theme and the field sites, and ask for community and local authorities' collaboration. In the case of PRISE, research themes and field sites were chosen by stakeholders at the start of the project. The effective implementation of the program design is in some ways an interim result, and has created significant recognition and capacity among partners.

Research continues at the four field sites in Senegal, covering four different themes: Migration, remittances and resilience; governance implications for climate resilience and economic development; Private sector involvement in adaptation; and impact of

climate change on the livestock sector. Early results have already been published through working papers, policy briefs and articles published in the AGRIDAPE magazine. Two photo stories, one documentary film and two posters, presenting research results for a community audience have also been produced. In each of the local field sites, community and district level stakeholders have been engaged in the research. Stakeholders report anecdotally a variety of outcomes that they have observed already, although these are not linked to an explicit strategy as far as we could tell:

- Two elected officials at the workshop reported that their awareness and understanding of climate change had improved since the start of the project, leading to incorporation of these issues in policy debates, and improved policy decisions in matters related to climate change. For example, one MP is now facilitating these discussions with the Environment commission of Senegal parliament and at the Pan-African Assembly.
- Researchers and elected officials also reported that research results are starting to find their way into official policy documents and concepts of resilience and adaptation are beginning to appear in regional and local planning. For example, the recent local plan for regional development in the FERLO region makes specific reference to climate resilience and adaptation, and a national project has been established to support the integration of climate change into regional development (TACC)[11]. A mayor in one town also asked the help of the team to integrate climate change adaptation measures in municipal regulations.
- Private sector engagement is significant. Through the Chamber of Commerce in Saint-Louis, a number of businesses are now actively engaged in the program and have contributed to the research studies.
- A positive relationship has been cultivated with FONGS (national federation of NGOs), which should help to set up potential future interaction to apply research results.

### 5.4.2 Influence Strategies, RiU Methods and Tactics

*What are the strategies that have contributed to achieving these initial or partial outcomes?*

Strong initial stakeholder engagement has helped to identify key partners for research and influence, but stakeholders we interviewed reported limited follow-up from researchers to share knowledge. After the identification of research themes and field sites, attention shifted to local stakeholders, and research has proceeded with few links so far to meaningful stakeholder communications. Stakeholder engagement plans and communications plans rely heavily on publication and dissemination, with few explicit measures that could help increase the likelihood of application.

[11] This project was terminated due to administrative restructuring, but a new phase is under discussion and would benefit from project results.

**A. Connections between stakeholder engagement and research**: The PRISE approach of using stakeholder input to define the research should make it easier and quicker to connect research results to users, who have been involved in the research program since its beginning. The approach was widely praised and admired by stakeholders and team members we interviewed. Researchers now have a stake in seeing their work applied by users who helped to identify the research questions and study sites in the first place. And user groups, such as agro-pastoralist associations, have a stake in interpreting and understanding research results because they had a hand in defining the research questions.

However, we found in Senegal that the detailed stakeholder engagement strategies have not connected well with knowledge sharing or with influencing desired outcomes, so far at least. During the workshop and field interviews stakeholders could offer no substantive appreciation of the research problems, anticipated results or emerging lessons of potential value to them, and at all levels had very limited knowledge of the research program. The design of the stakeholder engagement, with initial national level consultations to select the research themes and sites, .was much appreciated for its innovation. But then with the establishment of the four field research sites, stakeholder engagement processes were also started at that level. The number of stakeholders involved in the program expanded exponentially. It appeared from our interactions with national and local stakeholders that it was difficult for the researchers and staff to simultaneously deepen field level engagement with local stakeholders while also maintaining relationships with national stakeholders. This imposed a significant communications burden on researchers and program staff, as travel is difficult and time-consuming in rural Senegal, and internet communications are impractical. It became more and more difficult to maintain contact with all the local and national stakeholders. Communications such as a mailing list, or the distribution of the Agridape magazine special issue do not seem to bridge the gap between stakeholder engagement and research.

**B. Linear formulation of research-to-policy linkage:**
The logic of the consortium's communications plan in Senegal is roughly as follows.

1. Research themes and sites have been identified by key stakeholders at the outset of the program;
2. Research is now underway and will soon yield results;
3. Results will be summarized in accessible formats, depending on the audience;
4. Results will be communicated in interactive events such as workshops.

The process of interpreting, synthesizing and transferring research results to users is awaiting completion of the research phase this year, so the main effort to transfer research results to stakeholder groups has not yet begun. Staff who are responsible for RiU understand their task to be the translation of forthcoming research results into various publications and products for dissemination. The engagement of stakeholders,

identification of research themes and sites, production of new knowledge, and communication of that knowledge is seen as a linear sequence, with knowledge sharing at the end of the process.

But there has been limited attention in Senegal to the linkage between research products and users. The relationships between the research activities and users, which would serve as a basis for establishing the credibility of key messages, for identifying important strategic issues, for interpreting and framing research results and then selecting those of greatest relevance to specific stakeholders – these relationships seem quite weak, according to the sources we were able to interview. Stakeholders reported that they had seen little practical new information so far, and could not identify anticipated results that might relate to their decision making. The linear approach to knowledge sharing may have led to a loss of interest by some stakeholders since their original engagement.

**C. Gap between evidence-based information products and use of results in policy documents:**

The communications plan for Senegal proposes to generate a series of accessible information products. But the pathways through which these information products would be translated into policy language in various government documents at different scales was not obvious. We did not find evidence of strong relationships between researchers and policy makers at either the local or national levels. Neither could we find any systematic plans for engagement and capacity building of intermediary organizations such as community media, mainstream media or civil society actors, to prepare them to interpret and disseminate research results and products more effectively. In other words, we perceive a potential "gap" between the research products and their effective integration into policy documents at various scales (the desired outcome).

**D. Synergies with other projects:**

In attempting to influence policy thinking and documentation, the consortium's efforts in Senegal could be aided through strategic collaboration with other like-minded projects. PRISE has linked with many different stakeholders at various levels in Senegal, including IED MoU's with multiple government agencies. IED is represented on the national climate change committee and has contributed to Senegal's representation at CoP 21 and CoP 22. Yet it was not obvious to the evaluator that the Senegal team was building strategic alliances for the purpose of influencing PRISE outcomes. It is common for projects that have complex and ambitious agendas of their own to be focused internally, but it raises the question of synergy: would there be opportunities to reinforce potential policy influence by linking to other initiatives with similar objectives?

PRISE has developed extensive stakeholder engagement strategies, and Outcome Mapping to identify progress in achieving changes in boundary partner behaviour. The consortium also has a communications plan. In order to strengthen connections

between project level activity and program level strategy, it is important to ensure that this program documentation is available to country teams in the local working language. Overall, PRISE strategies for influence in Senegal revolve around their stakeholder engagement efforts, but we found that relationships with stakeholders have been weakly supported with relevant information and capacity development after the initial engagement period. Now, as more research results begin to become available, the consortium will increasingly need such relationships to target products and communications effectively, and to support the integration of research results into policy documentation at multiple scales. This is undoubtedly a daunting challenge, given the large number of stakeholders at different levels with whom some consultation has already taken place. It will probably be necessary to determine priorities for allocation of time and resources to these relationships and to deeper forms of knowledge sharing as the program moves into a greater emphasis on results and influencing outcomes.

# 6. Analysis and Recommendations

- Have these early outcomes been driven by specific, effective strategies?
- Are consortia effectively implementing the strategies they have proposed to assure influence and support outcomes that may not yet have been achieved?
- Do any proposed outcomes lack coherent strategies, within or across consortia, or at the program level?
- What can consortia do in the short and medium term to improve effectiveness of strategies and strengthen progress towards key outcomes?

## 6.1 Overall Issues: Strategies to Influence CARIAA Outcomes

The CARIAA program has clearly identified the application of research knowledge, in practical adaptation and resilience building measures to benefit vulnerable groups, as the outcome towards which its efforts are directed. It also recognizes that in providing funding and collaborative support to research teams, its influence on this intended outcome is indirect. So it is obvious that the program's success, in its own terms, relies partly on the consortia's ability to develop strategies and mobilize resources and skills to effectively influence those outcomes. The consortia recognize the importance of strategies to leverage the impact of their research, and have initiated a number of actions, taking a variety of approaches. Overall, however, the capacity and strategies to influence CARIAA program outcomes appear to have so far received relatively limited attention. The consortia are implementing the research programs that were selected and approved in the lengthy competitive process at the beginning of the program. This process predates the experience of CARIAA staff and was not part of our review, but the lack of attention to influence strategies appears to have its origins there.

Our point is that in identifying gaps and recommendations for potential action in this section, we do not intend any criticism of the consortia. We have not been asked to evaluate the performance of the consortia in delivering their proposed programs, and we have no reason to believe they are doing anything but what they have been funded to do, including with respect to RiU.

In some cases, there is a sentiment that attention to RiU needed to wait for research results, and that the RiU strategy would depend partly on these results. In other cases, where potential users were involved from the outset and the program was designed to respond to problems and questions articulated with them, the design of the program itself was intended to streamline RiU efforts. Consortia RiU strategies are so far fairly high level documents, or works in progress, but all the teams are now bringing a more nuanced and focused attention to RiU. In this sense, we believe the staged evaluation discussion is timely. We think there are opportunities to improve the effectiveness of RiU efforts in all four consortia, in order to increase the likelihood of achieving CARIAA outcomes. We also think that the CARIAA PMU could take measures to better support and complement the efforts of consortia in RiU.

We also think it would be helpful for the consortia to better recognize and celebrate their accomplishments so far, partly as a way to make some of their successful efforts more explicit. We are basically optimistic about the prospects for research influence and impact from CARIAA for three reasons:

- There is enormous potential for influencing adaptation policies and practices in all the countries we visited. Awareness of climate change among stakeholders at all levels is already high. While different groups have quite different agendas, they recognize that climate change impacts could be very damaging. Repeatedly, evaluators were told by policy makers and practitioners of their strong interest in relevant data or practical results for planning purposes at the local, district, state and national levels. This offers an extraordinary opportunity to CARIAA and the research consortia, if they can communicate evidence that is credible, practical and actionable.

- This study seems timely. All of the consortia are in the process of updating, revising or developing RiU strategies at this time, and there is still a high degree of flexibility in terms of the details of their priorities and activities.

- All of the consortia have RiU assets and influence activities in play already. They are already engaged. While the consortia take quite different approaches to research and to influencing the uptake of research results, there are many consistencies in terms of intended audiences and strategies, so we feel there are opportunities for shared learning based on their different experiences so far.

However, we should also emphasize that, while the timing is appropriate to strategically consider RiU strategies in all the consortia, the window of opportunity is narrow and closing rapidly. There will be increasing pressure on the remaining program resources as the program heads into its concluding phase in the next year or so, and strategies for RiU should be solidified soon.

In order to strengthen RiU strategies and outcomes from CARIAA, we offer the following observations and suggestions.

1. Strategies are emerging based on ad hoc or individual efforts and networks, with little in the way of systematic plans to influence specific outcomes the consortium seeks, stakeholder by stakeholder or outcome by outcome. There has been progress, but resources could be more effectively applied if guided by explicit strategies.

2. RiU is still a relatively opaque concept for most of the researchers and staff that we interviewed, even some of those who have demonstrated clear skills in this area. Some went so far as to say there are "no methodologies" for this type of work, leaving the sense that they are largely on their own in terms of creating RiU approaches, techniques and strategies. Researchers who are new to RiU (the majority) find this absence of direction daunting. Comprehension of influence strategies and RiU in general varies between and within consortia.

3. It is generally recognized that research skills and RiU skills are significantly different sets of competencies. Research institutes are expected to focus on generating research by definition, but because the skills involved in influence strategies or translation and application of research results are different from those involved in generating knowledge, these organizations do not necessarily have both sets of competencies.

4. However, research activities and strategies for influencing research uptake are closely linked. If they are viewed as distinct and separate components of the program, and assigned exclusively to different personnel, researchers may have little interest in RiU. While there is a need to engage different skill sets, researchers still need to be involved in RiU.

5. Researchers frequently conflated RiU strategies and stakeholder engagement strategies. Stakeholders may be engaged in a research initiative for a range of purposes: to provide input on research topics, to advise on methodology, to provide data or actually assist in collecting data, to be recipients of results dissemination, or to actually apply those research results in pilots or practice. Strictly speaking, only the latter amounts to research-into-use, although the other roles can help build relationships that may lead to RiU.

6. Consortia have devoted an enormous amount of effort to stakeholder engagement but this is generally not within the context of an explicit strategy to build relationships with priority stakeholders in a sustained way over time so that research results will be more likely to be tailored to their needs and they will be more likely to actually use them. Instead, research activities and stakeholder engagement can appear to be unrelated, with very limited knowledge sharing. Stakeholder engagement can be time-consuming, so consortia will need to be selective in focusing their efforts.

7. In all of the consortia, early stakeholder engagement has informed the research agenda to a greater or lesser degree, helping to define or scope research activities in ways that will better suit the needs of users. However, this process is often seen as a linear one, where stakeholders offer suggestions on research topics, researchers go away and do research for a couple of years, and only then prepare conclusions to present to stakeholders. This neglects the importance of communication and interaction to build trust and credibility in order to have impact. It also misunderstands the nature of opportunities for influence, which can arise with little warning, and can often be met from existing knowledge without the need for new research. This suggests the value, for example, of perhaps developing simple protocols for communication and information sharing for field researchers who will be interacting with community hosts and stakeholder groups in any case, and can play a useful role in building relationships and capacity at that level.

8. In DECCMA and HI-AWARE, most of the early outcomes we identified are due to institutional connections and networks that were already in place, rather than to the contributions of CARIAA. Four years is a relatively short time period to create relationships, build trust and then deliver results through those relationships.

9. In most consortia, member institutions have established relationships with local partner organizations to help define and undertake the research projects, because of their local knowledge and community networks. But the potential role of these strategic partners in supporting RiU may not have been considered sufficiently. One possibility would be to define collaboratively what the researchers and the local partners may be able to contribute to a kind of capacity building or resilience building *platform* that would bridge from scientific results to practical local innovation to ongoing shared learning about adaptation practices, as a program legacy.

10. There seems to be relatively little attention to the gap between dissemination of research results and their actual application. It would be useful for consortia to share their existing strategies, and for CARIAA to consider how it can help build capacity, for collaborative approaches that extend beyond the research itself to

reach farther towards interaction, dialogue and implementation along this RiU path, in order to better achieve program objectives.

11. Given these observations, we believe there would be benefits for the consortia if the CARIAA PMU could provide support, in the form of guidance or tools, to help clarify expectations and potential for RiU as a key element of program implementation. This could also include capacity building or collaboration between RiU coordinators, clarification of the roles of RiU coordinators and researchers, and identification of strategic synergies for country focal points. The technical staff within each consortium would benefit from shared learning opportunities, across countries within the consortia, and between the consortia. At the moment, these resources do not seem to be deployed most effectively, in part because of a lack of clarity as to strategies, methods, responsibilities and roles of the various players.

12. In addition, for each consortium the relative resources devoted to RiU, in terms of partner time and funding support, have so far been relatively limited. To some extent this may be a function of timing and the stage of program evolution, but if ambitious RIU strategies are put in place, they will probably need more resources.

## 6.2 Considerations for specific consortia and for CARIAA PMU

### 6.2.1 ASSAR

ASSAR has identified regional outcomes in West Africa through its impact pathway study, but the strategies to achieve these outcomes have not yet been elaborated beyond a fairly generic and skeletal level. The regional outcomes stated by ASSAR suggest a need to develop strong relationships with local and district level partner organizations, to help build the capacities of those organizations and enable them to support agricultural intensification and governance efforts in the name of adaptation. These relationships have been established in field sites with a strong program of local stakeholder engagement and consultation, based on connection to the district and national stakeholder platforms created by CCAFS. But with limited communication and followup, these stakeholder relationships are at risk of deteriorating.

This is partly due to a gap between the research activity, stakeholder engagement and the use of results. These have so far unfolded as parallel processes with little integration, in spite of genuine and important efforts invested in stakeholder engagement. We would suggest exploration of more knowledge communication or at least dialogue around climate change adaptation issues and ways to improve practice in

West Africa at the same time as research is being conducted, instead of waiting for the 4th year to begin sharing results.

It seems there is also a missing link between research and the utilization of results. More effort should be given to articulating measures that would better link the production and dissemination of evidence-based information in accessible formats, and the use of that information in policy and practice. The gap between dissemination and application can be partly overcome through communication and familiarity between researchers and research users, which enable proper targeting to local concerns, but also build trust and credibility in the application of research results.

At the moment, there is no communication plan to chart the way towards this outcome. This effort could also call on other actors - community media, mainstream media, institutional communicators - to engage with research results and dialogue. It could require capacity development for communication actors to use climate change adaptation knowledge, and related resources from the consortium.

Although there is a clear interest in investing at the local level where activities are being conducted, there would probably be gains in effectiveness from engaging on a more regular basis with national stakeholders, especially taking into account the policy influence that ASSAR wants to demonstrate. Even considering the limitations of the program focus on agricultural intensification and the political sensitivities within Ghana at this time, we suspect there would still be ways to reinforce judicious engagement by government actors. If ASSAR aims to meet the needs of government and practitioners to help shape more effective policy frameworks and to develop lasting adaptation responses, it is surprising to see so few government representatives at any level involved in Ghana so far.

For example, there seems to be little work being carried on that might influence the development of national level policy frameworks for adaptation planning, or local climate finance mechanisms through district budgets, two important aspects explicitly mentioned in the ASSAR program. The program may want to address explicit strategies for these expected outcomes, and might benefit from collaboration with DECCMA in this regard.

One strategic approach to influence is to collaborate with other climate adaptation projects with similar focus and objectives in Ghana. This approach may be worth considering in the case of ASSAR, where there appear to be other international projects operating in related domains and working with overlapping groups of stakeholders. The consortium might gain leverage through exploration of selective common interests, shared knowledge and joint influence strategies

ASSAR's West Africa coordination team comprises several different actors: a consortium co-PI and coordinator based in South Africa, a coordinator for West Africa based in

Washington (START international), a director for Ghana at IESS - University of Ghana and his team, two other researchers working at the Institute on project coordination a few days a month, and 2 technical officers who carry most of the logistical and operational tasks of the program. Regarding RiU, two officers have been hired this year, one as regional coordinator for Ghana and Mali, the other as a country focal point half for ASSAR, half for DECCMA in Ghana. At this point there doesn't seem to be much coordination in work plans. The RIU officers also work from different locations (OXFAM and IIES) in Accra. There is no presence in Mali. Neither do they interact directly with the researchers. While all individuals involved demonstrate a high level of commitment to the program, it may be worthwhile to assess the need for improved communication between the team members, and a more effective organizational model for the RiU work.

### 6.2.2 DECCMA

The consortium members have already established connections of influence with national government agencies. It seems logical to build on early successes and continue what is working, strengthening and supporting connections and strategies that show signs of bearing fruit.

The consortium may want to consider a tighter focus on selected, strategic stakeholders. Beyond those with whom there is already a strong relationship and early indications of uptake, are there a small number of key stakeholders closely connected with the intended outcomes, and what strategies are most likely to succeed with them? In particular, with this group of key stakeholders, the consortium will want to consider how best to bridge the gap between dissemination and application of research results, i.e. what kinds of ongoing relationship or partner capacity development will best support and enable targeting of communications efforts.

DECCMA has largely put its attention in influence strategies on state and national policy-makers, which may sensibly remain their focus. However, we were struck by the number of researchers who raised the importance of local stakeholders in implementing adaptation measures, and of the increasing focus on drivers of migration, which seems to point to community and household level adaptations and livelihoods. As part of a tighter focus on selected stakeholders, the consortium will need to determine if it is strategic and feasible to focus on local stakeholders and if so, which ones and how.

In relation to this question, one of the key products DECCMA has identified for its work will be one or more proposals for large-scale international funding of adaptation implementation. This type of funding is generally intended for scaling adaptation measures addressing infrastructure, livelihoods, and capacity building. However, most of DECCMA's influence efforts so far have been on high level planning and policy measures. Discussions at the consortium workshop in late August highlighted the need to start

considering the types of proposals that could be put forward in each member country, and how the consortium could make a unique contribution to these. If funding proposals are normally intended to scale up demonstrably successful adaptive innovations, then the consortium should consider what types of adaptive innovations its work can demonstrate, and what kind of evidence (e.g. pilots, local influence, impact) would be needed to support a proposal. Another possibility, suggested by our interview with WWF India, would be to explore collaboration with intermediary organizations who may already be preparing large donor proposals for delta adaptation measures.

Finally, given the magnitude of opportunity, the emerging interest at multiple levels, and the growing volume of both research outputs and engaged stakeholders, we have to ask if the resources being devoted to RiU are sufficient. At the least, the consortium may wish to better organize its efforts to incorporate researcher networks and influence strategies more effectively into the overall RiU effort.

### 6.2.3 HI-AWARE

The consortium should build on the productive high-level relationships it has established to date, particularly those with the NAP working groups in Nepal, the DST and MOFE in India to achieve policy impact, and with strategic partners such as Practical Action and CEDAR to achieve research results and local influence.

We encourage HI-AWARE efforts to continue using the ODI ROMA guide to revise their RiU strategy, and suggest that they try to make more explicit some of the key approaches they are already adopting, while strengthening their strategies for local influence with local governments and producer organizations. In this effort, they should pay special attention to how to bridge the gap between dissemination and utilization, through stronger stakeholder relationships and communications strategies.

HI-AWARE has identified and engaged local stakeholders at the district and community level for research, case studies and pilots, but should consider whether there would be simple ways of also strengthening knowledge sharing and practical capacity building with these groups, perhaps in collaboration with strategic partners. As part of their RiU strategy, they should also articulate strategies for scaling out and scaling up the results from pilot demonstration sites.

As examples of the potential for local impact, we offer these from our field visit:

a) In Kirtipur village, improvements to the irrigation system have been transformative, and the village is being considered as a case study of a “climate adapted village”. But the farmers recognize the need to keep adapting, and would like to know how other villages in similar contexts are adopting improved

crop varieties, or better livestock breeds, to adjust to an increasingly variable climate.

b) In Panchankanya village, their spring irrigation source has gradually declined, leading to abandonment of one of their distribution channels. The community is facing a variety of stresses from in-migration, watershed degradation and a changing agricultural economy, and in this context would like to know what measures they could take to halt or reverse the decline of their spring.

c) The Chitwan District Development Committee is increasingly concerned about climate change and variability. They find that local development efforts increasingly seem to focus on disaster risk reduction, as both flood and drought events seem to have increased in severity and frequency, with impacts on public health, and implications for forest ecology and agricultural practices, water and sanitation investments, etc. They would like to understand the connections between these issues better, and to have credible evidence, rather than speculation, on the relation to climate change and appropriate responses.

While these examples are illustrative, they point to both the extent of local interest, and the range of existing stakeholder networks that could serve as a foundation for RiU efforts to influence meaningful development outcomes.

### 6.2.4 PRISE

We found various formulations of PRISE outcomes at the consortium and country level, which is not a problem as long as everybody shares a common understanding as RiU and other consortium strategies are refined. To support this effort, the consortium should ensure that program planning and reference documents are accessible to the Senegal team in their own working language, and give consideration to linkages between project and country level planning through consistent communications and RiU strategies.

The process of identifying research topics with stakeholders prior to commencing the research work has been identified by stakeholders as a positive innovation, and a major departure from the typical research approach. It has been welcomed by many stakeholders because it offers them a much larger role in defining the research agenda. However, the process has been conceived as a linear one, where initial stakeholder engagement leads to identification of research issues and sites, then implementation of research projects involving local stakeholders, interpretation of results and finally sharing of results back to national stakeholders only several years after the initial consultations. This approach offers limited opportunities for building relationships between the research team and the stakeholders, which would serve to strengthen trust, communications and credibility to smooth the transfer of lessons. We can see significant benefits to all parties in a more consistent and meaningful interaction with priority stakeholders, given the effort that has gone into identifying and engaging them.

PRISE approach to RiU in Senegal seems to be mainly to develop and distribute accessible summaries of the research results. This strategy assumes that they understand their diverse audiences and their needs, and that the program staff can communicate results clearly to these diverse audiences. It assumes that the audiences view the information as credible and actionable. It also assumes that users will take up the information and determine themselves how best to apply it in policy documents. But without some kind of ongoing dialogue and relationship between the researchers and the key stakeholders, these assumptions may be difficult to meet. Products are less likely to respond to the changing priorities of different audiences, and are less likely to be seen as credible or reliable evidence. Without an ongoing relationship, opportunity windows for policy influence will be missed, and changes in the policy context may not be recognized. Given the large number of stakeholders at multiple levels, some strategic prioritization may be needed, but we would encourage ongoing interaction and knowledge exchange between researchers and stakeholders to better integrate the processes of stakeholder engagement and research.

In order to address the gap between dissemination and application, as in other consortia, PRISE should consider a strategy to build capacity of other communications intermediaries, such as media or civil society, who may have a role to play in delivering new knowledge to research users who cannot be easily reached by workshops or publications. We noted also that given the emphasis on the outcome of incorporating results in policy documents, we would expect some efficiencies could be realized by exploring synergies in effort with other groups in Senegal who share similar policy objectives. These elements could be addressed in the consortium's emerging RiU strategy.

### 6.2.5 CARIAA Program

- Should the CARIAA ToC be modified to better reflect consortium outcomes, strategies and progress?
- What can the program do in the short and medium term to improve effectiveness of strategies and strengthen progress towards key outcomes?

Given the observations from the consortia field visits and the issues identified above, we believe there are several important program-level initiatives that can be taken by the PMU to support consortia in strengthening and implementing their RiU strategies. As we describe above, there is already a lot of experience and insight among the consortia in terms of RiU. However, most of this experience has yet to be captured explicitly, and coherent strategies to focus attention on priority outcomes and related stakeholders / partners are needed. In order to do this, it will be important to reach a shared understanding of what RiU means and how CARIAA can best learn from the experience

of the consortia, and other sources, in order to strengthen these strategies. In particular, it will be important for CARIAA to emphasize the importance of better integrating consortium research and the RiU activities through iterative interaction.

The CARIAA PMU can play a leadership role in identifying relevant resources, expanding on the short list we provide, or synthesizing from the broader literature. As RiU strategies are elaborated or revised, the PMU could support development of a general template or guideline (such as the ODI ROMA guide) that could be modified or adapted by each of the consortia for their own purposes. The objective here would be to clarify expectations of what a strategy should look like, and provide tools to simplify its development. Based on experience from the consortia themselves, and from other sources, influence strategies and communications tools for different stakeholder categories could be shared.

CARIAA PMU could source external expertise and advisory services as required, provide guidance materials, develop examples of good practice, and encourage training and exchange both within and across consortia, including within countries where more than one consortium is active. This does not mean that different consortia should adopt the same strategies in a given country, but that their strategies would recognize synergies between the different stakeholders, themes and sites where they exist.

We found in our discussions with research teams and with stakeholders that there was widespread recognition of the value of pilot type projects in testing or demonstrating feasibility of innovative adaptation tools or techniques. This applies both to field level technical interventions and to soft measures such as decision support tools or models. Potential users or adopters are more likely to risk changing their practices if they can see that a new approach works. The notion of adaptation pilots was included in the CARIAA program's description and its Theory of Change, but has not featured prominently in any of the consortia's programming except in HI-AWARE. As an RiU tool, pilots could be quite effective, and we wonder if there needs to be further consideration of this possibility by the CARIAA program and PMC.

The measures described above could form components of a CARIAA PMU RiU strategy that would help complement consortium level resources and strategies through support to consortium RiU efforts. But in addition, a PMU strategy for RiU might consider how best to synthesize and leverage emerging research results across consortia to influence target audiences that are beyond the local, national and regional organizations that consortia are already working with. A good recent example of this is the use of OSF to support cross-consortium collaboration to contribute to the IPCC Special Report on 1.5 degree warming impact (see Concept Note prepared for June 2016 OSF submission). It may be helpful to devote some effort to identifying other ad hoc research syntheses that could be put together quickly by relevant consortium partners to meet similar emerging opportunities for influence, either among research or policy audiences. The ability of PMU to mobilize modest resources to respond across consortia to such

opportunities would demonstrate its commitment to leveraging results. PMU may also wish to consider the types of synthesis, messaging and connections that might be appropriate for audiences with which IDRC has closer relationships than do the research teams, such as:

- Global Affairs Canada
- DFID
- Other Bilateral donors with major programs in Africa and S Asia
- International NGOs active in this field

This would require strategic intelligence on the policy contexts and relevant priorities for these organizations in order to better identify and position emerging research results.

In addition, we see a potential role for CARIAA PMU in supporting consortia to work with their own strategic partners in the development of follow-up funding proposals to scale up innovative adaptation measures. This strategy for influencing outcomes has so far only been explicitly adopted by DECCMA. However, with a growing amount of global funding allocated to climate adaptation in LDCs, there is considerable potential to identify attractive adaptation innovations arising from CARIAA that could be packaged for scaling up with funds from the Green Climate Fund, Adaptation Fund, GEF, and various other large bilateral and multi-lateral funding sources. As an international donor itself, IDRC is well placed to engage directly with the sponsors and institutional structures behind these funds to promote program innovations, and to provide strategic intelligence, advice and guidance to the CARIAA consortia on potential fundability, eligibility, entry points, application windows and procedures in order to simplify and support such potential funding measures. Successful funding for follow-up adaptation measures arising from CARIAA research would provide strong evidence of the program's impact in achieving its ambitious outcomes.

Finally, in terms of CARIAA outcomes, we did not find evidence to suggest that these need to be changed materially in light of consortium progress or evolving outcome definitions. There are no major changes needed to the CARIAA ToC as a result, and little benefit to minor adjustments. We suggest that this report can be helpful to CARIAA and to the consortia in filling out some of the details implied in the Theory of Change, particularly under Output 3 ("Consortia establish engagement networks…for the uptake of CARIAA results"); and Link 3 ("CARIAA research and evidence products are communicated through a range of channels, including stakeholder engagement, direct policy support and piloting undertaken by CARIAA consortia and programme teams"), in fulfillment of Assumption 3 ("CARIAA establishes its niche with stakeholders through iterative interactions…this process is non-linear and cumulatively builds relationships over the lifetime of the programme…."). In other words, our findings and recommendations are consistent with the CARIAA ToC, and suggest that ToC implementation needs greater attention in order to fulfill the program's stated objectives.

## Appendix 1: Sources Consulted in CARIAA Staged Evaluation Field Visits

**ASSAR Field visit (Accra, Tamale, Nandom and Lawra districts, upper west region)**

- **Assar coordination team**
    - Prof. Chris Gordon, director IIESS
    - Elaine Lawson, coordinator
    - Adelina Mensah, Asst. Coordinator
    - Abdoulaye Hamidou, RiU regional coordinator
    - Prosper Adikou, RiU focal point, DECCMA- ASSAR
    - Prince Ansah, technical officer
    - Rahina Sidiki Alare, technical officer

- **Accra stakeholders**
    - Delali Nutsukpo, director of agriculture, Ministry of agriculture.

- **Lawra stakeholders:**
    - Traditional authorities
        - Pognaa Maabuora Duo I, Queen Mother of Lawra
    - Research
        - Eric Kaliebu, Technical advisor, Tisong-Taa Foundation
        - Tegan Kevin, Animal Research Institute
    - NGO, CBO
        - Mercy Jane Saano, Tisong-Taa Foundation and Village savings and loans
        - Assibi T. Bawa, youth representative
    - Government technical services
        - Dominic Maalu, District director, Ministry of agriculture, Lawra and Nandum districts
        - Joseph Oppong, police officer
    - Media
    - Ponu Damascus, West link radio

- **Nandom stakeholders**
    - Traditional authorities
        - Naa Jacob Zaabele, Representative of the paramount chief of the Nandom traditional area
    - Development programme

        - Stans Nasaal, director Nandom district integrated rural development programme
        - Augustine Liebo, deputy director
    - NGO, CBO
        - Tiewul Xavier, disabled group representative
    - Government technical services
        - James S Vuuro, deputy director, Ministry of agriculture district office
        - Alex Suleman, national fire service
        - Semani IC Elijah, national fire service
        - Gregory Maamino, National disaster management organization,
    - Media
        - Freda Pigru, radio FREED

- **Student Researchers**
    - Shibu Mohammed Tiyumtaba
    - Abass Adam Yidaha

**DECCMA Field Visit August 30 – September 6, 2016 (Raichak and Kolkata)**

**Attend DECCMA 5th Consortium Meeting Aug 30-Sept 2, 2016**
Presentations included updates on findings and stakeholder interactions, by delta and by work package, as well as an RiU session and a session with the staged evaluation team. Side meetings and group interviews were conducted with the following groups:

**Principal Investigators and Co-PIs, Aug 30**
Robert Nicholls, PI
Craig Hutton, Deputy PI
Mashfiqus Salehin, Co-PI for Bangladesh
Samuel Codjoe, Co-PI for Ghana
Sugata Hazra, Co-PI for India
Tuhin Ghosh, Co-PI for India

**Bangladesh Country Team, Aug 31**
Munsur Rahman, Bangladesh University of Engineering and Technology (BUET)
Mashfiqus Salehin, BUET
Md. Anisur Rahman, BUET
Rezaur Rahman, BUET
Anisul Haque, BUET
Mohammed Abed Hossain, BUET
Rashed Alam Bhuiyan, RMMRU
Mahmudol Hasan Rocky, RMMRU
Gobrinda Chakraborty, RMMRU
Zubayer Hossen, SANEM

Malik Fida Abdullah Khan, CEGIS
Anwara Begum, BIDS
Nabiul Islam, BIDS
Munir Ahmed, TARA
Mohammed Anwar Hossen, University of Dhaka

**RiU Team, Aug 31**
Katharine Vincent, Northern Team
Carolin Bothe-Tews, Northern Team
Gertrude Owusu, Ghana
Anisur Rahman, Bangladesh
Sumana Banerjee, India

**Ghana Team, Sept 1**
Samuel Codjoe, University of Ghana
Appeaning Addo Kwasi, University of Ghana
Gertrude Owusu, University of Ghana
Mumuni Abu, University of Ghana
Cynthia Addoquaye Tagoe, University of Ghana
Adelina Mensah, University of Ghana
Winfred Nelson, National Development Planning Commission
Benjamin Kofi Nyarko, University of Cape Coast
Barnabas Amisigo, Water Research Institute
Prince Osei Owusu Adjei, KNUST

**India Team – Mahanadi Delta, Sept 1**
Dr. P.G. Diwakar, National Remote Sensing Centre (NRSC)
Sunil S. Kulkarni, NRSC
P.V. Raju, NRSC
Ajit K. Pattnaik, PCCF, Government of Odisha
Poludasu Krishna Mohan, Chilika Development Authority (CDA)
Rabindra Nath Samal, CDA
Sumant Banerjee, CDA
Asha Hans, Sansristi
Amrita Patel, Sansristi
Jasmine Giri, Sansristi

**India Team – Indian Bengal Delta, Sept 3**
Sugata Hazra, Jadavpur University (JU)
Tuhin Ghosh, JU
Sumana Banerjee, JU
Rabindra Nath Bhattacharya, JU
Somnath Hazra, JU
Subhajit Ghosh, JU

Amit Ghosh, JU
Shouvik Das, JU
Subhas C Acharyya, JU
Asish Ghosh Centre for Environment and Development, CED
Sukanya Banerjee, CED
Farha Naax. CED

**Stakeholders, Sept 5**
Debal Ray
Chief Conservator of Forests
Government of West Bengal

Dr. Anurag Danda
Program Lead for Climate Change Adaptation
WWF India

**Stakeholders, Sept 6**
Local NGOS and Community Members

Ansuman Das, Secretary, Sabuj Sangha,
Mrinal Samanta, Secretary, Purba Gurguria Farmers' Club,
Nemai Bhandari - Project Coordinator, Joygopalpur Gram Vikash Kendra,
Tarapada Hazra, Farmer, Associated with Joygopalpur Gram Vikash Kendra as beneficiary,
Subhas Chandra Accharya, formerly executive with Sundarbans Development Authority (ret.) and meeting facilitator

**Hi-AWARE Field Visit September 8 - 9, 2016 (Delhi)**

**India Team, September 8**

Suruchi Bhadwal, Co-PI for India, The Energy and Resources Institute (TERI)
Navarun Varma, Alternate Co- PI for India, TERI
Neha Pahuja, RiU Lead, TERI
Neha Khandekar, TERI
G. Minni, TERI
Prasoon Singh, TERI
Ganesh Gorti, TERI
Neha Bharti, TERI
MS Madhusoodanan, TERI
Shubhi Sharma, TERI
Sudeshna Maya Sen, TERI
Ghanashyam Sharma, The Mountain Institute (operational partner for Teesta Basin)

Ishani Sachadeva, Centre for Ecology Development and Research (CEDAR) (operational partner for Upper Ganga Basin)
Roshan, CEDAR
Kailash Bhatt, Society for Himalayan Agriculture and Rural Development (SHARD) (operational partner for pilot in Rudraprayang)

**Stakeholders, September 8**
Prof. Sanjoy Hazarika
Director
Centre for North East Studies and Policy Research
Jamia Millia Islamia University

Dr M. Rajeevan
Secretary, Ministry of Earth Sciences

**Partner Presentations and Discussions, September 8**
Ghanashyam Sharma, The Mountain Institute
Ishani Sachadeva, CEDAR
Roshan, CEDAR
Kailash Bhatt, SHARD

**Stakeholders, September 9**
Dr. P.D. Rai
MP for Sikkim

Dr. Nisha Mendiratta
Director/Scientist
Climate Change Programme
Department of Science and Technology
Ministry of Science and Technology
Government of India

**Distinguished Fellows of TERI and HI-AWARE project advisors, September 9**
Dr. Prodipto Ghosh
S. Vijay Kumar

**CARIAA PO for HI-AWARE, September 9**
KS Murali, IDRC

**De-brief with TERI Team, September 9**
Suruchi Bhadwal, Co-PI for India
Navarun Varma, Alternate Co- PI for India
Neha Pahuja, RiU Lead, TERI
Neha Khandekar, TERI

G. Minni, TERI
Prasoon Singh, TERI
Ganesh Gorti, TERI
Neha Bharti, TERI
Shubhi Sharma, TERI
Sudeshna Maya Sen, TERI
Ishani Sachadeva, CEDAR
Roshan, CEDAR
Kailash Bhatt, SHARD

**Hi-AWARE Field Visit September 12-16, 2016 (Kathmandu and Chitwan, Nepal)**

**ICIMOD Team, September 12**

Philippus Wester, PI, HI – AWARE, Chief Scientist
Farid Ahmad, Lead M&E Focal Point , CARIAA & HI – AWARE
Anjal Prakash, Coordinator, HI – AWARE
Aneel Piryani – Assistant Coordinator, HI – AWARE
Bimal Regmi – Climate Change Governance Specialist
Anja Rasmussen – Lead KMC (Knowledge Management and Communication) Focal Point
Debabrat Sukla – KMC Officer, HI – AWARE
Smita Sharma – Consultant, RiU
Nuvodita Singh – M&E Research Officer
Amina Maharjan – Migration Specialist
Eklabya Sharma, Director, Programme Operations

**Stakeholders, September 12**
Mr. Prachanda Pradhan
Farmer Managed Irrigation System Trust

Achyut Luitel
Country Director (Nepal)
Practical Action

**Stakeholders, September 13-14**

Mr. Batu Uprety,
Ministry of Population and Environment (MoPE)

Mr.Kabindra Bikram Karki
Under Secretary
Ministry of Water Supply and Sanitation

Mr. Ghendra Kesari Upadhyaya

Director General
Department of Soil Conservation and Watershed Management
Ministry of Forests

Dhirendra Pradhan,
Planning Officer
Department of Soil Conservation and Watershed Management
Ministry of Forests

Mr. Madhukar Raj Bhandari
Director General
Department of Water Induced Disaster Management
Ministry of Irrigation

Jaymangal Prasad
Senior Forest Officer
Under Secretary
Department of Livestock Development

**Stakeholders, Field Visit (Chitwan), September 13-15**

Dinantha Bhandari
Programme Coordinator
Disaster Risk Reduction and Climate Change
Practical Action

Krity Shrestha
Climate Change Officer
Practical Action

Kirtipur Village
(no names)
Village headman
Head of Irrigation Management Committee
2 other village men
2 women

Panchakanya village
(Irrigation Management Committee members):
Reedra Pd Adhinari
Makur Mainali
Laxmi Chaudhary – Vice Chair (female)
Biuran Chaudhary
Rameshwar Mahato – Chair

Niriraj Mainali - Secretary

District Development Committee (local government officials):
Balram Luitel – DDC Communications Officer
Anup Akhikari – Chitwan Dept of Public Health
Sarbir Pokharel – FECOFUN Chitwan
Santosh Pakharel – DFO Shitwan
Govinda Devkota – Water and Sanitation Office Chitwan
Nima Khadka – Women's Development Office
Prakash Langel – Irrigation Development Division, Chitwan
Chun Narayan Shrestha – CCIC
Mahesh Adhikari – DDC Chitwan

Dr Nawaraj Devkota
Director, Research and Extension, Rampur Agriculture and Forestry University

**ICIMOD Team, September 15**

(series of individual and small group interviews)

Philippus Wester, PI
Farid Ahmad, Head of Strategic Planning, Monitoring and Evaluation
Giovanna Gioli, Livelihoods Adaptation Specialist
Pranita Bhusan Udas, Gender, Water and Adaptation Specialist
Mandira Singh Shrestha, Senior Water Resources Specialist
Santosh Nepal, Water and Climate Specialist
Vishwas Sudhir Chitale, Remote Sensing Analyst / Ecosystems
Rucha Ghate, Senior Natural Resource Management and Governance Specialist
Amina Maharjan, Livelihood Migration Specialist
Arun Bhakta Shrestha, Regional Program Manager, River Basins

**ICIMOD Team, September 16**

De-brief with PI and other senior leadership and many of the team members

**PRISE Field Visit (Sénégal)**

**Participants at the workshop in Saly**

Research

- Université Gaston Berger – Mahmadou Dime, director of the sociology department and researcher
- ISRA, Institut supérieur de recherché agricole - Univ. of Dakar– Assane Beye
- Nene Ndiaye, geography expert, consultant, project 3

Private sector

- Société des professionnels du bétail, Doudou Fall
- Société de produits industriels et alimentaires, Ibrahim Faye
- Mme. Diallo, agriculture leader

Government agencies and technical services

- DEEC – national structure for the UN convention on climatic changes – Abdallah Camara
- CEPOD, Centre d'études de politiques pour le développement, Ministry of economy and finance – M. Madaniou Dieme
- Agence régionale de développement de Tambacounda, Mamadou Fade
- Direction de l'élevage, Mme. Kanee
- TACC, projet Approche territorial du changement climatique – Colonel Babacar Dia

Parliamentarians and elected officials

- REPES, Réseau des parlementaires pour l'environnement au Sénégal , National Assembly, Mayor of the rural commune of Kerma Madiabel, member of the Pana African assembly- Député Kébé.
- Conseil Départemental de Kaffrine, Mamadou Gaye. elected official,

Civil society

- CESE, Conseil économique social et environnemental, and president of the Conseil national des éleveurs du Sénégal – Ismaila Sow.
- COSEF, Conseil Sénégalais des femmes – Mme. Gueye
- Abdoul Aziz, consultant pastoraliste

**Interviews**

Babacar DIop
President
National federation of NGOs (FONGS)
and agro-pastoralist

Bamba Ndiaye
Researcher involved in the transboundary governance research
Association de développement durable et integré de la zone sylvo-pastorale de Dhara

Pemda Sow Dia
General Secretary of the Chamber of Commerce of Saint-Louis

Bara Gueye
Director, Innovation, Environnement, Développement Afrique (IED)

Cheikh Tidiane Wade
Program Coordinator, IED

Lancelot Soumelong Ehode
Communication Officer, IED

Mamadou Diop
Researcher,, IED

Evans Kituyi, Senior program specialist, IDRC

## Appendix 2: RiU Resources

We found that some consortia already used some of these materials, but others had a limited sense of the resources that are already available for developing RiU strategies. This is by no means an exhaustive list, and there is an extensive academic and grey literature on this topic, but these materials are representative and easily accessible. This list tilts towards influencing policies, but there is an even more extensive literature dealing with research application to agricultural extension and rural development.

Carden, F. 2009. *Knowledge to Policy: Making the most of development research*. IDRC / Sage, Ottawa / New Delhi. https://www.idrc.ca/en/book/knowledge-policy-making-most-development-research

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Otten JJ, Dodson EA, Fleischhacker S, Siddiqi S, Quinn EL. Getting Research to the Policy Table: A Qualitative Study With Public Health Researchers on Engaging With Policy Makers. Prev Chronic Dis 2015;12. http://www.cdc.gov/pcd/issues/2015/14_0546e.htm.

Overseas Development Institute. 2014. *Rapid Outcome Mapping Approach (ROMA): a guide to policy engagement and policy influence*. On-line guide and toolkit. http://www.roma.odi.org/

Shucksmith, M. 2016. *How can academics and the third sector work together to influence policy and practice?* Carnegie Trust UK InterAction project. http://www.carnegieuktrust.org.uk/publications/interaction/

Tyler, S. R., and Mallee, H. 2006. Shaping policy from the field. In *Communities, Livelihoods and Natural Resources* (Tyler, S. ed.), Practical Action Publishing and IDRC, Rugby and Ottawa. pp. 347-372. https://www.idrc.ca/en/book/communities-livelihoods-and-natural-resources-action-research-and-policy-change-asia

Young, J. no date. *Impact of Research on Policy and Practice*. (blog post / short article). Originally published on Capacity.com, but now available at: https://www.idrc.ca/en/article/impact-research-policy-and-practice